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## **New York: Race to the Top Subrecipient Monitoring Plan**

**AUGUST 2012**

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**THE UNIVERSITY OF THE STATE OF NEW YORK**  
**THE STATE EDUCATION DEPARTMENT**

# New York State Education Department

## Race to the Top | Subrecipient Monitoring Plan

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## NYSED's Approach to Monitoring

The New York State Education Department (NYSED) is implementing a subrecipient monitoring plan for the Race to the Top (RTTT) Program as specified in Grant Condition O in the RTTT Grant Award Notification and the April 15, 2011 letter from the United States Department of Education (USDE). The State Education Department's oversight and monitoring activities address three priorities:

- Assess compliance with appropriate laws, regulations, and the provisions of contracts and grant agreements;
- Document the implementation of programs to advance the Regents Reform Agenda and meet program performance targets at both the State and Local Education Agency (LEA) levels; and
- Ensure that the recipients of RTTT funds have the internal controls necessary to prevent fraud, waste and abuse, identify potential or existing problem areas, and identify areas where additional technical assistance is warranted.

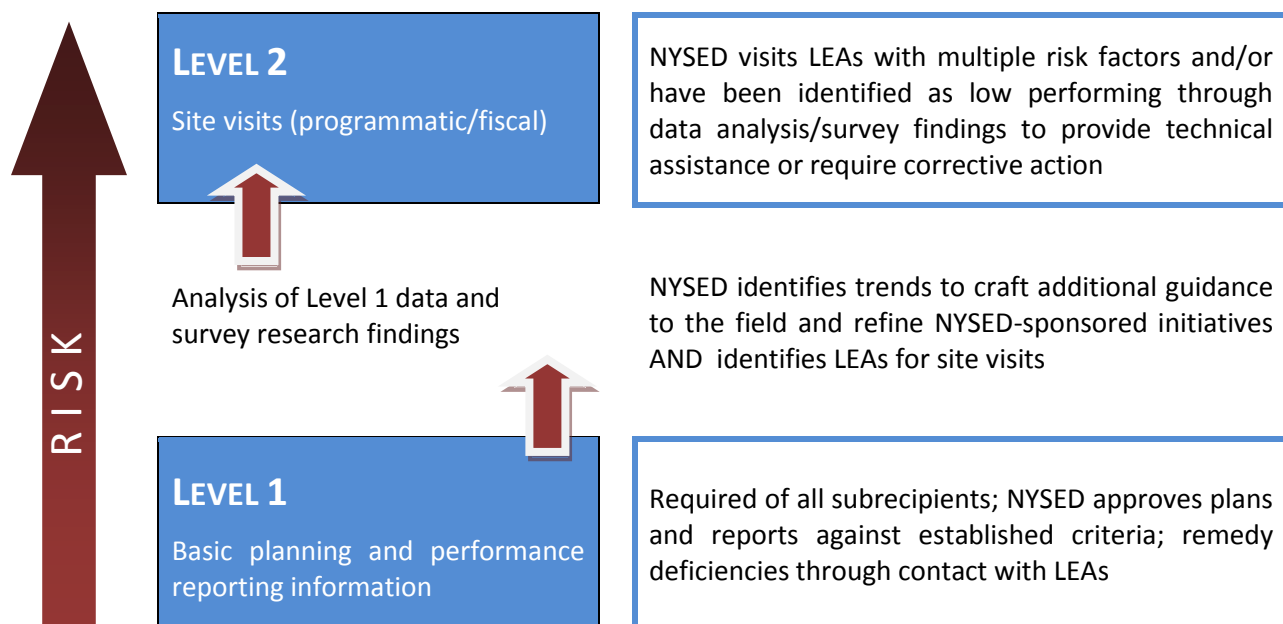
This Subrecipient Monitoring Plan describes NYSED's process for overseeing and monitoring grant activities funded by the local 50% share allocated to participating LEAs as well as the intra-state grant programs and statewide procurements funded from the 50% of the grant retained by the State Education Department. Our monitoring activities focus on both program implementation and fiscal management. Below is a chart that summarizes New York's framework for monitoring and the tools and protocols used. Some of these tools are designed and being implemented; others are still under development. Each element of our framework will be described in more detail in subsequent sections of this plan.

### SUMMARY OF NEW YORK STATE'S RTTT OVERSIGHT AND MONITORING ACTIVITIES

Entity	Program Oversight and Monitoring	Fiscal Oversight and Monitoring
<b>Participating LEAs</b> (50% Local Share)	<ul style="list-style-type: none"><li>• Scope of Work Approval</li><li>• Annual Performance Report Review/Analysis</li><li>• Implementation Surveys</li><li>• Network Team Performance Metrics</li><li>• Network Team Institutes Evaluations</li><li>• Risk-based Site Visits</li><li>• External Evaluation of Common Core Implementation</li></ul>	<ul style="list-style-type: none"><li>• Annual Budget Approval</li><li>• Budget Amendment Approval</li><li>• Annual Final Expenditure Report Approval/Analysis</li><li>• OSA Risk-based Audits</li><li>• ARRA 1512 Quarterly Reports</li></ul>
<b>Vendors/Grantees</b> (50% State Share)	<ul style="list-style-type: none"><li>• Progress Reports</li><li>• Contract Compliance Protocols</li><li>• Grantee Site Visits</li><li>• Grantee Convenings/CoP</li></ul>	<ul style="list-style-type: none"><li>• Payment Approval Process</li><li>• Final Expenditure Report Approval/Analysis</li><li>• ARRA 1512 Quarterly Reports</li></ul>

Overlaid on this framework is the concept of managing risk. Given that there are 690 participating LEAs with four-year allocations ranging from \$1,400 to more than \$256 million as well as 20 statewide procurements and a dozen grant programs with multiple grantees, the State must allocate its monitoring resources in a manner that focuses on subrecipients that may have the greatest challenges and/or least capacity to manage their RTTT funds and program initiatives.

The graphic below illustrates how NYSED has incorporated “risk” into our monitoring of participating school districts and charter schools.



NYSED’s approach to monitoring subrecipients of funds from the 50% State share begins with the Request for Proposals (RFPs). Regardless of whether NYSED is providing a grant opportunity or soliciting a procurement, the RFP establishes clear statements of desired program outcomes (for grants) or the specifications for the products and services the Department seeks to purchase (for procurements). When soliciting proposals under its RFPs, the Department always adheres to the New York State Procurement Lobbying Law, the Office of the State Comptroller policies, and our own internal controls that collectively are designed to ensure objective, unbiased and fair reviews of all proposals received.

NYSED’s RFPs also establish explicit reporting requirements and delineate payment processes for both grants and procurements. In the case of procurement RFPs, payments are most often tied to the completion of specific deliverables on a schedule and in accordance with acceptance standards determined by the State Education Department. Contracts that result from successful proposals always contain clauses that allow NYSED to terminate a vendor’s work for cause and with due notice.

### LEVEL 1

During the first quarter of Year 1, under the leadership of the RTTT Performance Management Office (PMO), the State Education Department developed the templates and guidance documents for completing the four-year Scope of Work plans and budgets (Attachments A-E). NYSED provided extensive support to participating LEAs as they completed their Scope of Work documents. The Department communicated the Regents reform priorities and RTTT policies and procedures through a series of webcasts, regional presentations, field memos, frequently asked questions and other information posted at the Department's RTTT website <http://usny.nysed.gov/rttt/>.

Participating LEAs were required to submit their Scope of Work plans and budgets through an expanded online portal used for other ARRA reporting purposes. This electronic submission process allowed the Department to build in automatic edit checks and other internal controls to help ensure compliance with NYSED policies (e.g., 15% Year 1 budget cap, 25% apportionment for Teacher/Leader activities, etc.) and to promote accuracy and completeness in documents LEAs were submitting. NYSED staff reviewed submitted Scope of Work plans and budgets according to established protocols (Attachments F-G). Once approved by NYSED staff, the Scope of Work documents became the baseline data set against which subsequent reporting and expenditures would be analyzed to assess compliance with grant requirements and Department policies as well as to gauge progress toward State and local performance goals.

Upon NYSED approval of their submitted budgets, LEAs may expend funds as needed and are required to file their requests for reimbursement of RTTT expenditures separately from the ARRA Reporting System using an FS-25 paper reimbursement form to the Department's Grants Management Office. NYSED requires LEAs to submit their actual expenditures in relation to their original approved budgets. Once submitted, Grants Management staff then review the requests, compare the request to the LEA's budget and, if expenditures are appropriately documented, authorizes payment to the LEA.

Additionally, the State Comptroller has issued guidance directing school districts to adapt their current financial accounting system, if necessary, to be able to separately identify RTTT funds, similar to current federal funds accounting requirements. A new revenue account code has been created - F4289 - to report the ARRA revenues on the annual financial reporting document ST-3. ARRA funds received from RTTT must be recorded in the Special Aid Fund as revenue account code F4289 for all ARRA spending provisions under RTTT. For additional information relative to account codes for ARRA, please refer to <http://usny.nysed.gov/arra/>

At the end of Year 1, the State Education Department designed and built additional functionality into the online portal to include electronic submission of an Annual Performance

Report (APR) and an Final Expenditure Report (FER). The template for the APR (Attachment H) mirrors the template of the Scope of Work plan so that the Department can efficiently compare planned vs. actual activities. The FER mirrors the budget template (Attachment I) so that the Department can compare budget vs. expenditures. These two analyses allow the Department to document statewide trends in progress and fiscal management practices and identify variances from those trends. The fiscal modules of the online system have additional embedded controls. The system does not allow a participating LEA to make changes to its approved annual budget without first getting approval for a budget amendment. Also, LEAs cannot submit a budget for an upcoming year without first closing out the prior year to ensure for timely reporting and filing of reimbursement claims. FER reports are approved by RTTT PMO staff following established protocols (Attachment J).

All participating LEAs must also submit “1512 Quarterly Reports” through the online portal to comply with ARRA reporting requirements regarding expenditures, use of contractors and jobs created or saved (Attachment K). These reports are reviewed and approved by staff in the RTTT PMO following established protocols (Attachment L).

Early in Year 2, NYSED’s desk review and analysis capability of the basic planning and reporting information being submitted by all participating LEAs was significantly expanded with the appointment of a full-time project assistant dedicated to subrecipient monitoring and support. Maintaining this “single point of contact” for all LEAs has proven exceptionally helpful in ensuring that LEAs have a clear understanding of how to comply with NYSED reporting requirements, thus helping to minimize reporting errors and improving the timeliness and accuracy of submissions from the field. This additional staff has also strengthened the Department’s oversight by augmenting the PMO’s capacity to generate and analyze summary reports of subrecipient reporting and activities.

## **LEVEL 2**

The State Education Department plans to begin conducting site visits to select RTTT participating LEAs during the 2012-13 school year. Some of these site visits will be fiscal and internal controls audits conducted by the Department’s Office of Audit Services; others will be programmatic in nature and conducted by the Office of P-12 Education’s new Network Team Implementation Team.

The site visits begin in Year 3 of the grant for two reasons. First, the Department focused its Year 1 and Year 2 efforts on building its staffing capacity to do this work and on the planning and reporting system previously described. The information contained in this system was a prerequisite for assessing the risk profile for each LEA needed to identify which of our 690 participating LEAs to visit. Second, the Department, again using a risk management framework, determined that there was minimum fiscal risk associated with the Race to the Top subrecipient grants in Years 1 and 2. There were fewer subrecipient funds budgeted and expended during Year 1 (the ten month period between late September 24, 2010 and June 30, 2011), since LEA activity focused on the development of their Scope of Work documents and formation of their

Network Teams. During Year 2, many LEAs spent their annual budgets to support their Network Team's participation in the intensive professional development sessions (monthly Network Team Institutes) sponsored by the State Education Department.

In preparation for the fiscal and internal controls site visits, the Office of Audit Services has conducted a comprehensive risk assessment of all participating school districts and charter schools (Attachment M). The methodology quantified and weighted risk based on certain factors related to subrecipient's fiscal condition, timeliness of reporting, results of external audits including OAS audits of ARRA funds, and results of A-133 single audits of federal funds. The specific risk factors included in the OAS assessment included:

- Total ARRA Race to the Top Funding
- Unreserved, Undesignated Fund Balance (09-10)/Unassigned Fund Balance (10-11)
- Total ARRA RTTT Funding as % of 10-11 Budget
- Fund Balance Subject to Real Property Tax Limit as % of Following Year's Adopted Budget 10-11
- Opinion on Financial Statements as "Qualified"
- Report on Internal Controls
- Financial Statements Received After 30 Day Grace Period
- A-133 Received Late
- A-133 Corrective Action Plans and Corrective Action Plans for other audits received late
- Number of Findings for All Audit Reports by OSC, OAS, Federal Government, and Other State Governments
- Single Audit ARRA Findings
- Reporting Not Timely, 1512 Reports Inaccurate, Separate Account Codes, and Cash and Interest Income
- RTTT Activity Type from Online Budget (Funds budgeted for School Turnaround)

The risk assessment identified 27 subrecipients with potential higher fiscal risk in administering RTTT funds. Of those 27 LEAs, 19 have been awarded a four-year grant of more than \$250,000. The specific LEAs to be visited and the schedule of those visits will be included in OAS's Annual Audit Plan which is projected to be reviewed by the Board of Regents Committee on Audits/Budget and Finance and approved by the Department's Executive Deputy Commissioner in October 2012. These fiscal site visits will concentrate primarily on allowable uses of funds to ensure that grant subrecipients are in compliance with the federal cost principles defined by OMB Circular 87.

The OAS fiscal and internal controls audits of RTTT subrecipients will result in one or more of several possible outcomes:

- The audit will not identify any material findings;



- The audit will identify some material findings of a minor nature resulting in a report that contains recommendations for LEA management to modify existing internal control or expenditure processes; and/or
- The audit will identify substantial findings of material fact resulting in a report and possible NYSED response of withholding future RTTT funds if satisfactory corrective action is not taken in a timely manner.

For each outcome a report will be issued to the LEA's Board and Management. The LEA is required by New York State Education Law to submit a corrective action plan to the Commissioner of Education within 90 days of the issuance of the final audit report. The Corrective Action Plans will be reviewed by OAS as well as program staff to ensure findings are addressed.

OAS's RTTT subrecipient audits will be a factor in enhancing overall LEA accountability for the use of the RTTT funds going forward. All final reports will be posted on the State Education Department's website for public inspection. Findings will be used by NYSED to enforce corrective actions as needed to ensure full compliance with federal ARRA grant requirements.

During Year 3, NYSED will also undertake a limited number of program focused site visits. The purpose of these on-site monitoring visits is several-fold:

- Assess the LEA's fidelity in implementing the Regents Reform Agenda; specifically the Common Core instructional shifts, Data-Driven Instruction, and the Teacher/Principal Evaluation system;
- Compare the LEA's activities to date to its work plan contained in its Scope of Work and provide technical assistance to help the LEA address variances;
- Evaluate the role of local Network Team's involvement and impact in supporting the LEA with implementation of the Regents Reform Agenda;
- Identify implementation challenges at the LEA level in order to improve the ongoing training, support, and technical assistance provided by the Department to the field; and
- Recognize promising practices for sharing statewide through various communications means including Network Team Institutes and posting on EngageNY.org.

LEAs selected for site visits will be informed that they will be visited and provided with the monitoring protocols the Department will use. The visit will include interviews with LEA administrators and teachers, classroom observations and walkthroughs. The site visits will also include a review of relevant records and materials to primarily determine the LEA's compliance with appropriate laws, regulations, and the provisions of contracts and grant agreements. Following the monitoring visit, Department staff will share with the LEAs the results of monitoring findings allowing 30 days for school districts to provide a response. NYSED staff will incorporate district comments in a final report to be mailed to the school superintendent/charter school CEO, posted on the Department's ARRA website and retained in NYSED's files.



LEAs will be selected for on-site monitoring visits based on a combination of programmatic risk factors that may include, but not be limited to: number and complexity of activities in an LEA's Scope of Work, results submitted in an LEA's RTTT Annual Performance Report, trends in the LEA's student assessment results, progress reports from the LEA's Network Team, and results from surveys administered by NYSED. A number of the risk factors for selecting LEAs to be visited will be derived from the Department's Level 1 monitoring efforts. Other risk factor data will come from surveys administered in Year 2 and going forward.

## **SURVEY RESEARCH**

The first survey undertaken was conducted in conjunction with the Department's School Year 2011-12 Intermediate Level Monitoring for Title I Schools (Attachment N). The protocols for these monitoring site visits included a survey asking LEA administrators to: a) rate the progress of their Network Team against the three expected deliverables of these teams for 2011-12; and b) describe the actions the LEA has taken as early implementation of the Regents Reform Agenda (Attachment O).

A more comprehensive survey research plan was initiated in late spring 2012 with the objective of assessing the effectiveness of the professional development provided by the Network Teams and the impact this training has had in the field. The focus on Network Team effectiveness was warranted since NYSED designed these teams to be the major "delivery system" for the professional development needed to implement the ambitious Regents Reform Agenda. Year 1 of the RTTT grant was devoted to establishing approximately 200 Network Teams and Year 2 focused on providing essential training to Network Team members so they could be positioned to turnkey the training locally. Now that the Network Teams have some experience in delivering services directly to schools, it was important to begin to build a systemic approach to monitoring and oversight that is both statewide in scope and would gather data on experiences at the local level from a variety of perspectives.

The State Education Department administered two separate, but related, online statewide surveys (Attachments P-Q) were designed and administered at end of the 2011-12 school year. Both surveys, although differentiated by role (e.g., school building principals and Network Team members), asked similar questions about:

- The quality and fidelity of the initiatives in the field;
- The breadth and scope of the training in the field in three areas (Common Core Standards in ELA and Math, Data-Driven Instruction, and Teacher/Principal Evaluation; and
- The level of effectiveness of the turnkey training to the field.

Specific questions ask school building principals to assess their level of personal familiarity with the three areas and to evaluate the quality and relevance of any professional development they have received. They were also asked to identify "artifacts" they could provide to NYSED on a site visit as evidence of their districts' implementation efforts. Network Team members were

asked to provide details on the training they are providing locally, identify obstacles that put their efforts at risk, assess whether they are on track to meet the milestone for deliverables<sup>1</sup>, and what additional resources they have found helpful. Findings from these surveys will be used by NYSED to identify trends to craft additional guidance to the field, refine NYSED-sponsored initiatives, and identify LEAs for site visits.

## Network Teams

In our application, New York State committed to establish a robust system of “Network Teams” to support schools across the state to implement the Regents Reform Agenda. Network Teams would assist schools, through turnkey training and coaching, as they:

- Implement the Common Core standards and align instruction to the new standards;
- Implement the State’s comprehensive assessment program and adapt to more rigorous performance-based assessments;
- Establish school-based inquiry teams to analyze student performance data and make adjustments to instructional practices; and
- Implement the new teacher/leader evaluation system, especially in regards to evidence-based observation.

Now that NYSED has provided a year of professional development to Network Teams members and they have begun turn-keying this training directly to schools, it is essential that NYSED transition its focus. This shift is from largely providing professional development to one that balances on-going professional development with implementation technical assistance and accountability. NYSED has begun the work to strengthen its accountability initiatives in two key aspects. First, the responsibilities of the NYSED’s Network Team staff are expanding to include monitoring and assessing implementation. Second, the Department will enhance its survey research methodology begun in Year 2.

### NETWORK TEAM IMPLEMENTATION TEAM

With approval of an amendment to our State Scope of Work by the U.S. Department of Education, NYSED is establishing an expanded Network Team unit, which will be renamed the Network Team Implementation Team to recognize a shift in focus described above. This team will have three main responsibilities:

1. Planning and implementation of all Network Team Institutes (continuation of current responsibilities);
2. Providing technical assistance and support to Network Teams in the delivery of turnkey training and other services to school districts (a natural maturation of Year 1 and 2 activities); and

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<sup>1</sup> As described in the NYSED publication, *Network Teams: Deliverables, Metrics, and Evidence for SY 2011-12*.

3. Assessing the effectiveness of Network Team efforts and gathering data on LEA implementation of Common Core Standards, Data-Driven Instruction, and the Teacher/Principal evaluation system (new responsibility).

To fulfill this new third responsibility, the Network Team Implementation Team will conduct several specific activities including, but not limited to:

- Design and administer a comprehensive statewide survey research plan; analyze results;
- Conduct site visits as described in the previous section;
- Design, create and implement reporting structures, monitoring rubrics for both Network Teams and participating LEAs;
- Evaluate the quality and relevance of Network Team Institutes to inform planning for subsequent Institutes;
- Examine student assessment results data for evidence of measurable improvements that could be attributed to implementation of Common Core Standards, Data-Driven Instruction, and Teacher/Principal evaluations; and
- Use results from monitoring activities to inform the development of statewide systems to sustain best practices beyond the RTTT grant period.

## **ENHANCED SURVEY RESEARCH**

The State Education Department developed a set of expected deliverables and performance metrics for the initial year of Network Team operations, School Year 2011-12 (Attachment R), which was the basis for the implementation surveys administered in the spring of 2012. NYSED has since updated and expanded this document for school year 2012-13 (Attachment S). The new version includes implementation metrics related specifically to Common Core State Standards (CCSS) implementation, alignment of CCSS and Annual Professional Performance Review (APPR), APPR implementation, and implementation of Data-Driven Instruction (DDI). The metrics are also calibrated for different roles: LEA Superintendents, Network Teams, and District Superintendents (BOCES). The Vision and Metrics document forms the basis for several new survey and implementation assessment tools:

- *Overview of District Implementation Efforts Survey* (Attachment T): A survey being administered this summer by Network Teams to directors of professional development or curriculum for their component LEAs.
- *Superintendent Worksheet for Completing the District Implementation Readiness Rubric* (Attachment U) and the *District Implementation Readiness Rubric* (Attachment V): A district-level tool to assist LEA superintendents in assessing their districts' readiness to implement the CCSS instructional shifts and their progress in doing so along each of the focus areas of the performance metrics mentioned above.
- *District Superintendent (BOCES) Regional Implementation Analysis* (Attachment W): Based on the LEA Superintendents' assessment results, BOCES District Superintendents will prepare and submit to NYSED a regional assessment summary reflecting the implementation status of all their component districts.

Additional surveys and assessment tools will be developed by the Network Teams Implementation Team as warranted. The Implementation Team will also be responsible for incorporating the findings of these new survey and assessment tools into all the other analysis of implementation progress and student results that the team will be undertaking.

### **COMMON CORE IMPLEMENTATION**

In addition to on-site reviews, NYSED will contract with a vendor to conduct a third-party evaluation of LEA implementation of key components of the State's Common Core-driven agenda; specifically, the degree to which teachers have successfully incorporated Common Core State Standards and instruction in the classroom, the extent to which LEAs have accommodated these changes organizationally and, finally, student performance on Common Core aligned standardized summative assessments. Institution-specific results from this evaluation will be used to validate and substantiate findings from on-site visits and audits and to identify performance trends that will alert NYSED Network Team Implementation Team members to share important findings with the field and provide targeted technical assistance to address outstanding performance issues.

### **STATEWIDE EVALUATION OF NYS INTERVENTIONS INTO LOW PERFORMING SCHOOLS**

In September 2011, NYSED selected a vendor to evaluate the statewide implementation of:

- School intervention models and the impact on student achievement from implementation of improvement approaches in identified Persistently Lowest Achieving (PLA)/Schools Under Registration Review (SURR) schools.
- Interventions in Differentiated Accountability (DA) Improvement, Corrective Action and Restructuring phases and categories of the State accountability system and the impact on student achievement and implementation of improvement approaches in identified schools.

Specifically, the contractor is addressing several interrelated but distinct evaluation components and assessments including:

1. The implementation of school intervention models, the effectiveness of interventions and improvement approaches, and the impact on student achievement in PLA/SURR schools;
2. The implementation of DA phase and category requirements, the effectiveness of interventions and improvement approaches and the impact on student achievement in identified schools in New York State;
3. Annual formative and summative assessments of implementation in these schools and districts; and
4. A three-year trend analysis for all outcome measures.

Although this contract runs through the life of the RTTT grant, the contractor is providing NYSED's Office of Accountability with quarterly progress reports, annual reports and is providing other deliverables as required in the Request for Proposals.

In New York's *State Scope of Work*, the State Education Department committed to using the 50% share of the RTTT grant to launch several grant programs and fund a number of procurement contracts. In the shortened Year 1 period of the RTTT grant (September 2010 – June 2011), NYSED concentrated its efforts on developing and issuing Request for Proposals (RFPs) as required by the State's procurement rules and regulations. While NYSED issued several RFPs in Year 1, these did not result in any contracts or grant awards being made due to the timeframes of the required processes. In Year 2, NYSED awarded six procurement contracts and made awards under two grant programs.

There will be a significant increase in both contracts and grant awards during Year 3. In total, over the four-year period, more than \$170,000,000 of the State's share will be used to provide grants to school districts, charter schools and postsecondary institutions across several of the Assurance Areas. Almost another \$150,000,000 of the State's share will be used to purchase products and services (e.g., sample curriculum modules, professional development on the new State teacher/leader evaluation system, the Education Data Portal, etc.) that will have long-term benefits to schools and students beyond the life of the RTTT grant.

In anticipation of the increased numbers of contracts and grant awards, the State Education Department has expanded its online reporting system so that vendors and grantees can submit 1512 ARRA Quarterly Reports similar to what participating LEAs have been doing since the start of the RTTT grant.

### **COORDINATOR FOR CONTRACT PERFORMANCE MANAGEMENT**

NYSED has also hired a full-time, dedicated Coordinator for Contract Performance Management who works as part of the RTTT Performance Management Office (PMO). The Coordinator is assisting program office staff who work directly with contractors and grantees to ensure that all RTTT-funded state contracts and grant programs are overseen in a consistent manner, generate the anticipated deliverables or program outcomes consistent with contract-defined quality standards and that all ARRA/RTTT required reporting is completed accurately and in a timely fashion.

The Coordinator is working with other staff in the RTTT PMO to develop a comprehensive training manual for grant/vendor contract administration and monitoring. The manual will be used to educate internal program staff on how to monitor vendor performance through fiscal and progress reports; establish and maintain a continuous meeting schedule for updates, issues, or concerns; develop internal tracking system for reports and payments; and understand and apply federal and state guidelines (ARRA, OMB Circulars A-31 and A-33) in the administration of the contract. All training materials will be housed on the Department's intranet for future reference as a resource during the RTTT contract.

In addition to the staffing training initiatives, the Coordinator will participate in vendor meetings to ensure contract compliance and service delivery guidelines are met; address any budgetary and reimbursement inquiries, and develop reporting structures to complement service delivery schedules. The oversight of vendor service may occur via on-site monitoring of activities; however, due to State-mandated travel restrictions, oversight will primarily be implemented through conference calls, web-based meetings, and written reports (both progress and fiscal).

## **OVERSIGHT PROTOCOLS**

NYSED employs various strategies to provide oversight and conduct monitoring of vendor/grantee recipients of RTTT funding from the State 50% share. These strategies comply with federal and state regulations for the administration of federal funding. The process for awarding funds is similar for grants and procurements.

Initially, NYSED develops and issues a Request for Proposals (RFP) that becomes an executable contract with a vendor (for procurements) or an award notification (for grantees). All contracts include explicit language regarding the State Education Department's expectations for performance. All proposals received in response to RFPs are evaluated against objective criteria (typically related to the quality of proposed work plans, organizational capacity to deliver, and reasonableness of budget, among others). Once a vendor or grantee is selected, a contract is prepared. All contracts and grant awards must first be approved by the Office of the State Attorney General and the Office of the State Comptroller before projects can begin.

Contracts and grant awards provide explicit expectations for the delivery of products and services or grant activities as well as a calendar of activities or milestones for deliverables, payment schedule, and reporting requirements. Once contracts/grant awards are in place, the vendors/grantees are invited to an orientation to meet with NYSED program staff for a brief overview of the contract and fiscal and program delivery expectations. The vendors/grantees are introduced to the various reporting and payment requirements.

The vendor submits deliverables and invoices according to schedule and the NYSED program office contract manager reviews and accepts deliverables based on established quality standards. Invoices are then forwarded to NYSED's Grants Management Office for payment. Grantees submit requests for reimbursement of expenditures on a schedule specified in the RFP. The program office grant manager reviews the reimbursement claim compared to the previously approved work plan and budget. When approved by the program office, the reimbursement claim is submitted to the Grants Management Office for payment.

In addition to payment criteria, the vendors/grantees are responsible for reporting on services provided and activities performed in a progress report. Standard contract language for grants/procurements is a quarterly reporting schedule; however there may be instances where only an annual report may be required. In addition to the quarterly report, the vendor/grantee



is required to submit information in compliance with 1512 ARRA reporting requirements regarding expenditures and jobs created or saved. Vendors and grantees use the same online ARRA reporting system that LEAs use when submitting their 1512 reports.

Vendors and grantees are expected to submit an Annual Performance Report (APR) as required by the federal Race to the Top grant. The APR is due December 2014, which is 90 days from the grant closing date of September 2014. The vendors/grantees will be notified to complete their APR within the same delivery period, but with an appropriate amount of time for NYSED to submit its required grant closeout reports. The vendors/grantees billing cycle may end within 30 days from the grant closing date, thus allowing them to complete their APRs by October 2014.

If at any time during the contract/grant period, the Department determines that the vendor or grantee is out of compliance with contract terms, NYSED can, at its discretion, decide to terminate the contract/grant and stop payment. This is a standard clause attached to every RFP issued by NYSED and included in every contract approved by the State Attorney General and the Office of the State Comptroller (Attachment X).

## Conclusion

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This Subrecipient Monitoring Plan describes NYSED's process for overseeing and monitoring grant activities funded by the local 50% share allocated to participating LEAs as well as the intra-state grant programs and statewide procurements funded from the 50% of the grant retained by the State Education Department. Our monitoring activities focus on both program (to assess progress related to CCSS, DDI and TLE implementation) and fiscal management (to evaluate compliance with federal cost principles defined by OMB Circular 87). Overlaid on this framework is the concept of managing risk. Given that there are 690 participating LEAs with four-year allocations ranging from \$1,400 to more than \$256 million as well as 20 statewide procurements and a dozen grant programs with multiple grantees, the State is allocating its monitoring resources in a manner that focuses on subrecipients that may have the greatest challenges and/or least capacity to manage their RTTT funds and program initiatives. Some of the tools to be used in this work are designed and being implemented; others are still under development.

## Attachments

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Attachment A	Guidance for Developing LEA Scope of Work
Attachment B	LEA Scope of Work Template
Attachment C	LEA Activity Level Annual Budget Template
Attachment D	Request to Certify a Network Team Equivalent
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Attachment F	LEA Scope of Work Reviewer Checklist
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Attachment K	ARRA 1512 Quarterly Report template for Race to the Top
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Attachment M	NYSED Office of Audit Services Fiscal Risk Assessment: Summary
Attachment N	Title I Districts Subject to Intermediate Level Monitoring
Attachment O	SY 2011-12 Site Visit RTTT Survey (done as part of the site visits to Selected Title I Districts – see Attachment N)
Attachment P	SY 2011-12 Implementation Surveys: School Building Principals
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- Appendix B: Description of the Four Intervention Models for Persistently Lowest-Achieving Schools
- Appendix C: Terms and Conditions, Assurances and Certifications for Federal Program Funds under the American Recovery and Reinvestment Act (ARRA)

## COMPONENTS OF THE FINAL SCOPE OF WORK TO BE COMPLETED AND RETURNED TO THE NYS EDUCATION DEPARTMENT (Separate Documents)

- ☐ Student Outcomes and Work Plan
- ☐ Budget Worksheet
- ☐ Request to Certify A Regional Network Team Equivalent (Optional)
- ☐ Teacher and Principal Evaluation System Implementation Certifications (which can be filed anytime between 07/01/11 and 06/30/13)

## INSTRUCTIONS FOR COMPLETING THE FINAL SCOPE OF WORK

### Intent to Submit *Final Scope of Work* – Due by October 18, 2010

All school districts and public charter schools which plan to submit an RTTT *Final Scope of Work* must notify NYSED of your intent to do so by no later than Monday, October 18<sup>th</sup>. This notification can be sent to NYSED as an email to: [RTTT@mail.nysed.gov](mailto:RTTT@mail.nysed.gov) or fax to 518-486-9070. Sending this *Intent to Submit a Final Scope of Work* will keep your school district or public charter school on the list of participating LEAs when the Department calculates the final RTTT LEA subgrant allocations.

### Working with the Documents and Templates

- ☐ The Guidance Document and the four templates that are to be completed and submitted to NYSED will be posted on October 6<sup>th</sup> to the Information and Reporting Services (IRS) Portal, which can be accessed through the Department's Business Portal at <http://portal.nysed.gov>. Also, on the IRS Portal, as part of the RTTT *Final Scope of Work* file, is a student data report for your LEA which will be helpful as you complete the *Student Outcomes and Work Plan* template. The IRS portal allows for the electronic submission of your *Final Scope of Work* and will help expedite the review and approval of your plan.

- ❑ Your designated data coordinator should already be familiar with accessing files on the IRS Portal. Portal user accounts and access rights are created and maintained through the SED Delegated Account System (SEDDAS). Assistance with managing these accounts can be found at <http://www.p12.nysed.gov/irts/irs-portal/>.
- ❑ **The IRS Portal contains files with confidential data for students enrolled in your district or charter school in addition to the RTTT files. Only the superintendent/public charter school principal and his/her designees can access these files. Designee access should be granted only to individuals with a legitimate educational interest to view confidential student information.** In other words, if the person who needs to download/upload the RTTT files is not authorized to view confidential student data, that person will need to work with an authorized person to do so.
- ❑ Forms are in the Microsoft Office 2003 format and must be submitted in this (or 2000) format. Changes in the file format may lead to your submission not being automatically loaded and the LEA will be asked to resubmit them in the correct format.
- ❑ It is recommended that you download the files to your PC, work to complete the documents “off-line” and when you are finished, compile the completed files into a single ZIP file for uploading to the IRS Portal. Please ensure your entire submission is complete prior to uploading.
- ❑ Tips for creating a ZIP file can be found at:  
<http://condor.depaul.edu/~slytinen/instructions/zip.html>  
[http://www.ehow.com/how\\_5023369\\_make-zip-file-compressed-file.html](http://www.ehow.com/how_5023369_make-zip-file-compressed-file.html)  
<http://www.apple.com/pro/tips/zip.html>  
<http://office.microsoft.com/en-us/infopath-help/zip-or-unzip-a-file-HA001127690.aspx>
- ❑ If you wish to change or update an initial submission, you may do so. But, please be advised that subsequent uploads will overwrite any previously submitted files.

Deadline for submission is November 8, 2010. Notification will be sent when your application has been approved by NYSED.

### **Additional Information**

If you have questions, please send them to the Department’s RTTT mailbox at: [rttt@mail.nysed.gov](mailto:rttt@mail.nysed.gov) or check the Department’s RTTT website at <http://usny.nysed.gov/rttt/> for updates and materials.

Additional information on the new teacher and principal evaluation law is available at: <http://www.p12.nysed.gov/memos/performeval/memo.html> and <http://www.p12.nysed.gov/memos/performeval/memo083110.html>

## SECTION I: INTRODUCTION

Thank you for your commitment to being a participating Local Educational Agency (LEA) in New York's Race to the Top (RTTT) plan. Strong support from more than 85% of the school districts and public charter schools across the state was a key factor in the U.S. Department of Education awarding New York nearly \$700 million in RTTT funding. Now that New York has the award, our work begins. All participating school districts and public charter schools must complete a *Final Scope of Work* which the NYS Education Department (NYSED) must approve within 90 days from the date the awards were announced:

DATE	MILESTONE
August 24	<input type="checkbox"/> U.S. Department of Education announced RTTT Round 2 Winners
October 4	<input type="checkbox"/> NYSED posts <i>Final Scope of Work</i> template and supporting guidance
October 18	<input type="checkbox"/> Last date for school districts and eligible public charter schools to become participating LEAs if they have not already done so <input type="checkbox"/> LEAs file an "intent to submit" a <i>Final Scope of Work</i> if they have not submitted their completed <i>Final Scope of Work</i> <input type="checkbox"/> NYSED locks in the list of participating LEAs needed to produce final subgrant allocations
October 22	<input type="checkbox"/> NYSED posts <u>final</u> subgrant allocations for Participating LEAs
November 8	<input type="checkbox"/> Last date for participating LEAs to file <i>Final Scope of Work</i> statements with NYSED
November 22	<input type="checkbox"/> All <i>Final Scope of Work</i> statements are due to U.S. Department of Education

This is a demanding schedule -- both in terms of the timeframe to complete the *Final Scope of Work* process and in regards to the timing within the school year calendar. LEAs will have limited time to plan out the full four years of education reform initiatives and to budget their RTTT funds accordingly. In addition, the NYSED, the Big 5 school districts and the BOCES will require sufficient time to launch the statewide projects and tools (e.g., curriculum models, new assessments, the data portal, etc.) we have committed to build in the RTTT application. For these two reasons:

- A. The Department has established a **maximum allowable expenditure level of 15% of an LEA's total four-year allocation for Year 1** (from October 1, 2010 to June 30, 2011). For subsequent years, the participating LEA may expend funds on the required and allowable activities in accordance with its four-year RTTT *Final Scope of Work* as approved by the Department.
- B. The Department will approve the first-year work plan and budget, and will conditionally approve the three additional years. Annually, the participating LEAs will be required to submit an end-of-year performance report. Based on its review of this end-of-year performance report, the Department may require LEAs to revise their coming year plans and budgets.

## Participating LEA Requirements

### Network Teams

#### SUMMARY

Who must participate:	School districts and public charter schools participating in RTTT
When can they start:	Network Teams must be in place by July 1, 2011; LEAs may choose to assemble teams before this date for planning purposes
How much can they spend:	Up to 75% of their RTTT allocation over the four-year period

Each assurance area of the State's RTTT plan includes specific initiatives of the Board of Regents statewide education reform agenda. Therefore, participating LEAs will be required to spend their RTTT local allocations on specific activities designed to better prepare students to graduate from high school so as to be college- and career-ready as described in the RTTT application. Consistent with the State's RTTT plan, the *Final Scope of Work* requires participating LEAs to purchase services from a regional Network Team (if applicable) to implement the required activities listed in the *Preliminary Scope of Work*.

Network Teams will consist of experts in curriculum, data analysis, and instruction. NYSED recommends that each Network Team consist of at least the equivalent of three full-time professionals. To cover the majority of the State's school district LEAs, NYSED recommends that the BOCES be staffed with three-person teams that will each provide services to as many as 25 schools within their component districts. The State's Big 5 city school districts will build and maintain Network Teams to provide services to the schools within their own districts. Network Teams will support all RTTT initiatives and will work directly with educators in schools to provide consistent, high-quality professional development and related services to ensure successful statewide implementation of our RTTT plan. The Network Teams will work closely with districts' school-based *Inquiry Teams*<sup>1</sup> to make the instructional cycle dynamic and student-focused. The teams will also assist LEAs in coordinating and aligning RTTT initiatives with the existing professional development activities and results in the schools for which they are responsible.

Each participating school district *is required* to use up to 75% of its RTTT allocation to either:

- A. Purchase services of a BOCES RTTT Network Team; or
- B. Assure NYSED that it will participate in services provided by an alternative team determined by NYSED as offering services comparable in content and quality. A BOCES, school district, or public charter school will not have to create a new Network Team if it can demonstrate that its existing system provides services of an equivalent quality and range to those provided by RTTT Network Teams as outlined in the State's plan. The Department encourages participating school districts and their BOCES to work together to establish effective Network Team structures and functions that align with the State's plan and are within the participating LEA school districts' RTTT budgets for this activity.

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<sup>1</sup>School-based Inquiry Teams – comprised of teachers, teacher leaders and administrators – are charged with becoming expert in accessing, understanding and using data to identify a change in instructional practice (e.g. teaching division of fractions) that will accelerate learning for a specific group of underperforming students. Based on what is learned from that experience, teams work with school staff to implement and monitor system-level change to benefit all students. The reflective practice that is used as the basis for the Inquiry Team's work is intended to support continual, evidence-based improvement of student learning. While each school is to have at least one Inquiry Team, more teams may be put in place should the school find it valuable to do so.



Since public charter schools can purchase services from BOCES only under limited circumstances, they will not be required to participate in a BOCES-sponsored Network Team. Rather, public charter schools are required to use up to 75% of their RTTT allocation to purchase comparable services. As noted above, they may use up to 75% of their allocations as a single charter school or enter into collaborative arrangements with other public charter schools.

**Please  
Note**

For additional information about Network Teams, see Appendix A: Essential Elements of the RTTT Network Teams.

## Teacher and Principal Evaluation

**SUMMARY**

Who must participate:	School districts and public charter schools participating in RTTT
When can they start:	Negotiations to implement Education Law §3012-c can begin at any time; but must be completed prior to receipt of RTTT funds for Section D activities
How much can they spend:	25% of their RTTT allocation over the four-year period, funds become available to participating LEAs once they have filed the appropriate certification with the NYS Education Department

Education Law §3012-c (added by Chapter 103 of the Laws of 2010):

- Establishes a new comprehensive annual evaluation system for classroom teachers and building principals based on multiple measures of effectiveness, including 40% student achievement measures, which would result in a single composite effectiveness score for every teacher and principal.
- Differentiates effectiveness for both tenured and probationary teachers and principals using the following four rating categories: Highly Effective, Effective, Developing, and Ineffective; uses such annual evaluations as a significant factor for employment decisions including promotion, retention, tenure determination, supplemental compensation, and professional development.
- Provides that two consecutive annual ratings of “Ineffective” constitutes a “pattern of ineffective teaching or performance,” which constitutes very significant evidence of incompetence and which may form the basis for just cause removal of tenured teachers or principals (Chapter 103 also creates an expedited tenured employee disciplinary process for teachers and principals where the charges are based solely on a “pattern of ineffective teaching or performance.”)

This new legislation ensures that all classroom teachers and their building principals (not just teachers who teach subjects in which students take a State assessment) will be evaluated based on student data, which will include assessment results and other measures of achievement, and provides a process for the development of measures beyond State assessments.

## School Districts

Because school district activities under Section D of the State's RTTT plan (*Great Teachers and Leaders*) are tied to implementation of the new evaluation law, NYSED requires that at least 25% of the four-year LEA allocation must be spent for this purpose. School districts must begin implementation of the law's provisions in order to qualify for the release of that portion of RTTT funding. Accordingly, before any RTTT monies may be spent for purposes of implementing the teacher and principal evaluation system, the school district and any teacher and principal collective bargaining agents must certify to the Department that their contracts comply with the provisions of Education Law §3012-c and the Commissioner's regulations. A school district that has both teacher and principal collective bargaining agreements must certify that contracts for both teachers and principals permit implementation of the new evaluation system before the Section D apportionment will be available to the district to spend on implementation activities. If any teachers and/or principals in a school district are not represented by a collective bargaining agent, the school district must certify that it will evaluate those teachers and principals in accordance with all applicable provisions of Education Law §3012-c and Commissioner's regulations. Once a school district provides such certifications (as applicable), the Section D apportionment will be available to the school district to spend on implementation activities. This may occur at any time after July 1, 2011, with Section D monies being potentially available for use as early as the 2011-12 school year.

These requirements also apply to school districts with schools designated as persistently lowest achieving (PLA) or in Restructuring status in the State's Differentiated Accountability system that wish to implement the Transformation Model in these schools. (See section IV for additional information on the four models for school turnaround). Those school districts must make the applicable certifications described above with respect to the classroom teachers and building principals in the schools in which the Transformation Model is to be implemented.

## Public Charter Schools

Although public charter schools are not legally required to implement Education Law §3012-c, for purposes of participation in the State's RTTT plan and receiving funds to implement Section D activities, charter schools must evaluate all classroom teachers and building principals using a comprehensive annual evaluation system that is consistent with the following elements of Education Law §3012-c: (1) is based on multiple measures of effectiveness, including 40 % student achievement measures, which would result in a single composite effectiveness score for every teacher and principal; (2) differentiates effectiveness for teachers and principals using the following four rating categories: Highly Effective, Effective, Developing, and Ineffective; and use such annual evaluations as a significant factor for employment decisions including promotion, retention, supplemental compensation, and professional development; and (3) provides for the development and implementation of improvement plans for teachers or principals rated Developing or Ineffective. If a public charter school's teachers and/or principals are represented by a collective bargaining agent, such charter school must certify that any contracts comply with the relevant provisions of Education Law §3012-c as stated above before the Section D apportionment will be available to spend on implementation activities. If a public charter school's teachers and/or principals are not represented by a collective bargaining agent, such charter school must certify that it has established a teacher and principal evaluation system that is consistent with the three elements of Education Law §3012-c described above. Once a public charter school provides such certifications (as applicable), the Section D apportionment will be available to the school to spend on implementation activities. This may occur at any time after July 1, 2011, with Section D monies being potentially available for use as early as the 2011-12 school year.

## Allowable Activities

If the LEA has RTTT funds in excess of what it needs to meet its obligations for the two key Required Activities described above, the participating district or public charter school must expend these funds to implement one or more activities selected from a list, or “menu,” of additional Allowable Activities. This list is a combination of proven programs and innovative reform initiatives – all designed to raise the achievement of students and help ensure that all students graduate from high school college- and career-ready. The list provides several options under each of the Assurance areas<sup>2</sup> and is intended to provide school districts and public charter schools with some flexibility in expenditure decisions. School districts and public charter schools are encouraged to choose programs and initiatives that meet the learning needs of their students and to use the RTTT monies to start a new program or build on a proven one that is aligned to the State’s plan. Because the four Assurances are designed to work together to create a comprehensive systemic approach to improving teaching and learning, a participating LEA is expected to distribute any available RTTT funds for Allowable Activities across the four Assurance areas in a manner that best addresses the LEA’s student outcome goals contained in its completed *Final Scope of Work*.

### Please Note

- ❑ NYSED will not approve a *Final Scope of Work* that replaces a current LEA expenditure made from existing funds with RTTT monies or uses RTTT funds to restore budget cuts.

### Please Note

- ❑ Once its *Final Scope of Work* is approved, an LEA may begin local activities under Section A: State Success Factors, Section B: Standards and Assessment, Section C: Data Systems, and Section E: Turning Around Lowest-Performing Schools (unless implementing the Transformation Model) with the 75% of its allocation not set aside for Section D: Great Teachers and Leaders.

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<sup>2</sup>The four **Assurance areas** are: Adopting internationally-benchmarked standards and assessments that prepare students for success in college and the workplace; Building instructional data systems that measure student success and inform teachers and principals how they can improve their practices; Recruiting, developing, retaining, and rewarding effective teachers and principals; and Turning around the persistently lowest-achieving schools.

## SECTION II: STATE ACTIVITIES AND PARTICIPATING LEA REQUIRED ACTIVITIES

### State Success Factors (Section A)

Elements of State Reform Plan: Network Teams (including equivalent structures)			
Required LEA Activities	Timeline	State Activities	Timeline
<input type="checkbox"/> Participate in school turnaround efforts in relevant districts. <input type="checkbox"/> Provide collaborative time for school-based Inquiry Teams to the extent consistent with Article 14 of the Civil Service Law. <input type="checkbox"/> Implement enhanced New York State Standards (including the Common Core standards). <input type="checkbox"/> Participate in the Instructional Reporting and Improvement System pilot. <input type="checkbox"/> Participate in optional statewide curricula and curriculum-embedded formative assessments based on enhanced New York State Standards (including the Common Core standards). <input type="checkbox"/> Participate in Instructional Reporting and Improvement System statewide rollout. <input type="checkbox"/> Implement new teacher and principal evaluation system.	Beginning 09/2010  07/2011  Beginning 09/2011 09/2011  Beginning 09/2012  10/2012  Beginning by 07/2013	<input type="checkbox"/> Launch RTTT Network Teams (and their equivalents) to support school-based Inquiry Teams of teachers and principals who learn from network teams the best practices to analyze student data, identify and intervene to solve academic deficiencies and other challenges, and evaluate and learn from results.	07/2011

### Standards and Assessments (Section B)

Elements of State Reform Plan: (B)(3) Supporting the transition to enhanced standards and high-quality assessments		
Required LEA Activities	State Activities	Timeline
<input type="checkbox"/> Implementing the enhanced standards and high-quality assessments as described in the State's plan, including: <ul style="list-style-type: none"> <li>o Collaborating with the State regarding adoption and implementation of the Common Core Standards as required by the State;</li> <li>o Participating in professional development regarding the Common Core Standards and optional State curricula; and</li> <li>o Participating in any growth model developed and required by the State and approved by USED.</li> </ul>	<input type="checkbox"/> Regents adopt Common Core standards. <input type="checkbox"/> Regents adopt enhanced NYS standards (including Common Core Standards). <input type="checkbox"/> Implement enhanced NYS standards (including Common Core Standards). <input type="checkbox"/> Rollout NYS-sponsored professional development activities to implement optional statewide curricula and curriculum-embedded formative assessments based on enhanced New York State Standards (including the Common Core Standards). <input type="checkbox"/> Implementation of Common Core assessments from PARCC consortium (subject to Regents approval)	07/2010 12/2010 09/2011 09/2012 09/2014

## Data Systems to Support Instruction (Section C)

**Elements of State Reform Plan: (C)(3) Using data to improve instruction: (i) Use of local instructional improvement systems; (ii) Professional development on use of data; (iii) Availability and accessibility of data to researchers**

Required LEA Activities	State Activities	Timeline
<input type="checkbox"/> Implementing the longitudinal data system developed by the State and described in the State's plan, including: <ul style="list-style-type: none"> <li>Collecting and reporting data as required by the State;</li> <li>Implementing or enhancing a local instructional improvement system that is aligned with the State's instructional reporting and improvement system;</li> <li>Providing professional development for teachers and administrators on using data to improve instruction; and</li> <li>Increasing the percentage of teachers who effectively use data to improve instruction.</li> </ul>	<input type="checkbox"/> Implement Early Warning Data System. <input type="checkbox"/> Pilot instructional data portal prototype. <input type="checkbox"/> Education Data Portal rolled out for all users. <input type="checkbox"/> Statewide rollout of comprehensive instructional reporting and improvement system for all users.	09/2011 10/2011 04/2012 10/2012

## Great Teachers and Leaders (Section D)<sup>3</sup>

**Elements of State Reform Plan:**

**(D)(2) Improving teacher and principal effectiveness based on performance: (i) Measure student growth; (ii) Design and implement evaluation systems; (iii) Conduct annual evaluations: (iv)(a) Use evaluations to inform professional development; (iv)(b) Use evaluations to inform compensation, promotion, and retention; (iv)(c) Use evaluations to inform tenure and/or full certification; (iv)(d) Use evaluations to inform removal.**

**(D)(3) Ensuring equitable distribution of effective teachers and principals: (i) High-poverty and/or high-minority schools; (ii) Hard-to-staff subjects and specialty areas.**

**(D)(5) Providing effective support to teachers and principals: (i) Quality professional development; (ii) Measure effectiveness of professional development.**

Required LEA Activities	State Activities	Timeline
<input type="checkbox"/> Implement a comprehensive evaluation system for teachers and principals based on multiple measures of effectiveness, including student achievement measures, which would comprise 40% of teacher and principal evaluations and ratings in accordance with the following minimum requirements:	<input type="checkbox"/> Regents convene Task Force on Teacher and Principal Effectiveness. <input type="checkbox"/> Regents adopt initial student growth model for measuring educator effectiveness.	09/2010 07/2011

<sup>3</sup> Please see "Participating LEA Requirements: Teacher and Principal Evaluation" for a full description of the requirements that school districts and public charter schools must meet to be eligible for RTTT funding to implement Section D activities.

### Elements of State Reform Plan:

**(D)(2) Improving teacher and principal effectiveness based on performance:** (i) Measure student growth; (ii) Design and implement evaluation systems; (iii) Conduct annual evaluations; (iv)(a) Use evaluations to inform professional development; (iv)(b) Use evaluations to inform compensation, promotion, and retention; (iv)(c) Use evaluations to inform tenure and/or full certification; (iv)(d) Use evaluations to inform removal.<sup>4</sup>

**(D)(3) Ensuring equitable distribution of effective teachers and principals:** (i) High-poverty and/or high-minority schools; (ii) Hard-to-staff subjects and specialty areas.

**(D)(5) Providing effective support to teachers and principals:** (i) Quality professional development; (ii) Measure effectiveness of professional development.

Required LEA Activities	State Activities	Timeline
<ul style="list-style-type: none"> <li>○ 2011-2012: 20% student growth on state assessments or comparable measures for teachers in the common branch subjects or ELA and Math in grades four to eight only, and 20% other locally selected measures that are rigorous and comparable across classrooms;</li> <li>○ Subsequent years before Regents approval of a value-added growth model: 20% student growth on state assessments or comparable measures for all teachers, and 20% other locally selected measures that are rigorous and comparable across classrooms;</li> <li>○ Subsequent years following Regents approval of a value-added growth model: 25% student growth on state assessments or comparable measures, and 15% other locally selected measures that are rigorous and comparable across classrooms; and</li> <li>○ The remaining 60% of the evaluations and ratings would be based on locally developed measures (e.g., classroom observations by trained evaluators), according to standards prescribed by the Commissioner.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Network Teams provide training and coaching to evaluators on implementing performance evaluations for teachers and principals.</li> <li><input type="checkbox"/> Implement Transfer Fund which will provide financial incentives to encourage the most effective teachers in the STEM disciplines, for English Language Learners and for Students with Disabilities to take assignments in high-need schools.</li> <li><input type="checkbox"/> Implement Supplemental Compensation Incentive Fund providing the opportunity to provide outstanding teachers and principals in hard-to-staff subjects and areas with supplemental compensation based on effectiveness (as defined by the Commissioner's Regulations) and willingness to take on additional assignments.</li> <li><input type="checkbox"/> Implement Teacher and Principal Development Continuum (based on measures of effectiveness).</li> <li><input type="checkbox"/> Public reporting of teacher and principal evaluation data linked to preparation programs as part of a preparation program performance accountability system.</li> <li><input type="checkbox"/> Regents adopt value-added student growth model for measuring educator effectiveness.</li> </ul>	<p>07/2011</p> <p>07/2011</p> <p>10/2011</p> <p>05/2012</p> <p>06/2012</p> <p>08/2012</p>

<sup>4</sup> Please see "Participating LEA Requirements: Teacher and Principal Evaluation" for a full description of the requirements that school districts and public charter schools must meet to be eligible for RTTT funding to implement Section D activities.

**Elements of State Reform Plan:**

**(D)(2) Improving teacher and principal effectiveness based on performance:** (i) Measure student growth; (ii) Design and implement evaluation systems; (iii) Conduct annual evaluations; (iv)(a) Use evaluations to inform professional development; (iv)(b) Use evaluations to inform compensation, promotion, and retention; (iv)(c) Use evaluations to inform tenure and/or full certification; (iv)(d) Use evaluations to inform removal.<sup>5</sup>

**(D)(3) Ensuring equitable distribution of effective teachers and principals:** (i) High-poverty and/or high-minority schools; (ii) Hard-to-staff subjects and specialty areas.

**(D)(5) Providing effective support to teachers and principals:** (i) Quality professional development; (ii) Measure effectiveness of professional development.

Required LEA Activities	State Activities	Timeline
<ul style="list-style-type: none"><li><input type="checkbox"/> Develop a single composite effectiveness score for every teacher and principal which incorporates multiple measures of effectiveness, including student achievement measures as set forth above.</li><li><input type="checkbox"/> Using such annual evaluations as a significant factor for employment decisions including but not limited to, promotion, retention, tenure determination, termination and supplemental compensation, and also for teacher and principal professional development.</li><li><input type="checkbox"/> Develop and implement improvement plans for teachers and principals rated “ineffective” or “developing.”</li><li><input type="checkbox"/> Pursue the removal of teachers and principals receiving two consecutive annual ratings of “ineffective” after receiving supports from improvement plans.</li><li><input type="checkbox"/> Use the comprehensive system for teachers and principals to ensure an equitable distribution of qualified and effective teachers and principals within a district.</li></ul>		

<sup>5</sup> Please see “Participating LEA Requirements: Teacher and Principal Evaluation” for a full description of the requirements that school districts and public charter schools must meet to be eligible for RTTT funding to implement Section D activities.



## Turning around the lowest achieving schools (Section E)

### Elements of State Reform Plan: (E)(2) Turning around the lowest-achieving schools

In order to be eligible for RTTT funding to implement the Transformation Model in any school identified as persistently lowest achieving (PLA), the school district must, prior to the first day of the school year in which implementation of the Transformation Model would begin, provide any applicable certifications relating to implementation of the comprehensive annual evaluation system as described in "Participating LEA Requirements: Teacher and Principal Evaluation" above.

**Please Note:** Public charter schools are not permitted to spend their RTTT subgrant funds for Section E activities.

Required LEA Activities	State Activities	Timeline
<input type="checkbox"/> As required by Commissioner's regulations, in schools that have been identified as persistently lowest-achieving/schools under registration review in 2010 through 2014, LEAs commit to implementing one of the four intervention models outlined in the State's plan. <sup>6</sup>	<input type="checkbox"/> First cohort of persistently lowest achieving schools identified.	01/2010
<input type="checkbox"/> Participate fully in Annual Review of Plan Effectiveness for persistently lowest achieving schools as described in the State's plan; and	<input type="checkbox"/> First cohort of persistently lowest-achieving schools begin model implementation.	09/2010 and annually thereafter
<input type="checkbox"/> For persistently lowest-achieving schools, establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics. LEAs must also report and measure progress on several indicators as described in the State's plan.	<input type="checkbox"/> Subsequent annual identification of persistently lowest achieving schools.	10/2010 and annually thereafter
	<input type="checkbox"/> Completion of annual evaluation report of intervention efforts by participating LEAs with persistently lowest achieving schools.	03/2012 and annually thereafter

<sup>6</sup>Evaluation of whether implementation of one of the four turnaround models is consistent with the State's plan will be conducted by NYSED consistent with Commissioner's regulations and New York State's implementation of the federal §1003g School Improvement Grant program, including the requirement that the LEA and its local collective bargaining agent(s) have successfully negotiated the full implementation of Education Law section 3012-c in transformation schools. (See Appendix B for a description of the four Turnaround models.)

## SECTION III: MENU OF ALLOWABLE ACTIVITIES

If your school district or public charter school has funds remaining once you have budgeted for the required activities, you may choose to use those RTTT funds to support any of the following activities. As you consider which Allowable Activities to support, please review your Student Outcome Goals in your *Final Scope of Work* plan and select those activities which are most likely to cause positive changes in those metrics.

### Standards and Assessments (Section B)

NYS Plan Element	Activity Code	Allowable Activity	Required Performance Metric(s) for the Activity
(B)(3)	B-1	Costs (e.g., substitutes, stipends) associated with participation in NYS-sponsored professional development activities to implement optional statewide curricula and curriculum-embedded formative assessments based on enhanced New York State Standards (including the Common Core Standards), including professional development in using information systems that track assessment outcomes.	Percentage of historically underserved students who achieve college and career-ready performance levels on 3 <sup>rd</sup> – 8 <sup>th</sup> grade (Proficient or Advanced) and high school (75 or above in high school English Language Arts, 80 or above in high school Math) assessments;  <i>Disaggregate for:</i> Black or African-American students, Hispanic or Latino students, Students with Disabilities, English Language Learners, and Economically Disadvantaged students.
(B)(3)	B-2	Costs (e.g., substitutes, stipends) associated with participation in NYS-sponsored professional development activities to implement Positive Behavioral Interventions and Supports (PBIS).	
(B)(3)	B-3	Costs (e.g., substitutes, stipends) associated with participation in NYS-sponsored professional development activities to implement Response to Intervention (RtI).	
(B)(3)	B-4	Development of local and formative assessments across all grade levels and subject areas to meet student instructional needs (consistent with New York State Standards) and the provisions of Education Law § 3012-c, consistent with Commissioner's regulations.	
(B)(3)	B-5	Professional development for teachers (and their principals/ instructional supervisors) who will implement CTE courses in which increased percentages of historically underserved students will enroll.	Percentage of historically underserved students who graduate from high school with a high school diploma and Career and Technical Education certifications or credentials sufficient for high-wage, high-skill employment or admission to 2-or-4 year higher education technical training programs. <sup>7</sup>  <i>Disaggregate for:</i> Black or African-American students, Hispanic or Latino students, Students with Disabilities, English Language Learners, and Economically Disadvantaged students.
(B)(3)	B-6	Equipment and other curricular materials for CTE courses in which increased percentages of historically underserved students will enroll.	

<sup>7</sup> RTTT funds can only be expended to implement a new CTE credential or certification program that is NYS-approved.

NYS Plan Element	Activity Code	Allowable Activity	Required Performance Metric(s) for the Activity
(B)(3)	B-7	Training and professional development for teachers (and their principals/instructional supervisors) who will implement Advanced Placement (AP), International Baccalaureate (IB), and/or Cambridge (Advanced International Certificate of Education [AICE] or International General Certificate of Secondary Education [IGCSE]) courses in the subjects for which, as of September 30, 2010, the Department has approved an alternative assessment pursuant to 8 NYCRR §100.2(f), in which increased percentages of historically underserved students will enroll.	<p>Percentage of historically underserved students who graduate from high school with International Baccalaureate diplomas.</p> <p><i>Disaggregate for:</i> Black or African-American students, Hispanic or Latino students, Students with Disabilities, English Language Learners, and Economically Disadvantaged students.</p> <p>Percentage of historically underserved students who earn 3s or higher on Advanced Placement exams in the core subjects (English, Mathematics, Science, History).</p>
(B)(3)	B-8	Virtual AP, IB, and/or Cambridge (AICE or IGCSE) courses and related training and professional development for teachers (and their principals/instructional supervisors) in the subjects for which, as of September 30, 2010, the Department has approved an alternative assessment pursuant to 8 NYCRR §100.2(f), in which increased percentages of historically underserved students will enroll.	<p><i>Disaggregate for:</i> Black or African-American students, Hispanic or Latino students, Students with Disabilities, English Language Learners, and Economically Disadvantaged students.</p> <p>Percentage of historically underserved students who obtain a minimum score of E on the AICE in core subjects (English, Mathematics) or an A on the IGCSE.</p> <p><i>Disaggregate for:</i> Black or African-American students, Hispanic or Latino students, Students with Disabilities, English Language Learners, and Economically Disadvantaged students.</p>
(B)(3)	B-9	Development of data systems, aligned course sequences and early college and career school models, between postsecondary institutions and P-12 systems	<p>Percentage of historically underserved students who graduate from high school with a high school diploma and Career and Technical Education certifications or credentials sufficient for high-wage, high-skill employment or admission to 2-or-4 year higher education technical training programs.<sup>8</sup></p> <p><i>Disaggregate for:</i> Black or African-American students, Hispanic or Latino students, Students with Disabilities, English Language Learners, and Economically Disadvantaged students.</p> <p>Percentage of historically underserved students who achieve college and career-ready performance levels on 3<sup>rd</sup> – 8<sup>th</sup> grade (Proficient or Advanced) and high school (75 or above in high school English Language Arts, 80 or above in high school Math) assessments;</p> <p><i>Disaggregate for:</i> Black or African-American students, Hispanic or Latino students, Students with Disabilities, English Language Learners, and Economically Disadvantaged students.</p>

<sup>8</sup> RTTT funds can only be expended to implement a new CTE credential or certification program that is NYS-approved.

## Data Systems to Support Instruction (Section C)

The State will be launching an educational data portal and comprehensive instructional reporting and improvement system to be used by all LEAs. LEAs are encouraged to avoid long-term investments in infrastructure or system development that will duplicate the functionality of the planned statewide system (See Sections (C)(2) and (C)(3) of the Race to the Top application for a detailed description of these statewide systems).

NYS Plan Element	Activity Code	Allowable Activity	Required Performance Metric(s) for the Activity
(C)(3)	C-1	Costs associated with implementing school-based Inquiry Teams.	Same metrics as for Allowable Activities B-1 through B-4.
(C)(3)	C-2	Develop, implement or enhance a local instructional improvement system or best practice sharing system that is aligned with the State's instructional reporting and improvement system, including costs associated with training and professional development.	Increased LEA capacity to collect, report, and analyze student performance data, and integrate these data into the LEA's professional development initiatives.
(C)(3)	C-3	Costs associated with training and materials to help parents and students use performance data to improve student learning.	Increased rate of parent and student participation in conversations with school personnel regarding student performance data.
(C)(3)	C-4	Non-capital expenditures to build/expand enterprise data system, aligned with the State's data system, to support teacher and principal evaluation/performance management, and student learning.	Increased data system capacity to collect, report, and analyze student performance data, and integrate these data into the LEA's performance management system, including teacher/principal evaluation.
(C)(3)	C-5	Evaluation trainer/coach on Network Teams to implement and sustain performance management, consistent with the provisions of Education Law § 3012-c.	Same metrics as for Allowable Activities D-1 and D-4.
(C)(3)	C-6	Develop technology, decision making tools, data systems, rubrics and measures of effectiveness to support Network Teams, principals and teachers in implementing the provisions of Education Law §3012-c.	Increased staff capacity to collect, report, and analyze student performance data, and integrate these data into the LEA's performance management system, including teacher/principal evaluation.
(C)(3)	C-7	Develop local technology systems for delivering online curriculum content and sharing student work, including performance assessments.	Increased staff and data system capacity to coordinate performance management and instructional delivery reform efforts and integrate and analyze results.

## Great Teachers and Leaders (Section D)<sup>9</sup>

NYS Plan Element	Activity Code	Allowable Activity	Required Performance Metric(s) for the Activity
(D)(2)	D-1	Costs associated with training of teacher evaluators (inc. principals, instructional supervisors, peer evaluators, etc.) to implement locally negotiated evaluation systems consistent with Education Law § 3012-c.	<p>Percentage of effective and highly effective teachers as identified through a comprehensive evaluation system for teachers based on multiple measures of effectiveness (including student achievement measures, which would comprise 40% of teacher evaluations and ratings) as described in Education Law section 3012-c.</p> <p><i>Disaggregate</i> by: the 4 Rating Categories: Ineffective, Developing, Effective, and Highly Effective.</p> <p>AND</p> <p>Explain your methodology for estimating the 2010-11 percentages of teachers in each performance category.</p>
(D)(2)	D-2	Costs associated with implementing teacher evaluation systems and providing coaching, induction support, and differentiated professional development to implement teacher improvement plans for teachers identified as ineffective or developing.	
(D)(2)	D-3	Providing supplemental compensation, consistent with local collective bargaining agreements, through a career ladder program to highly effective teachers who mentor, coach, or provide professional development to student teachers, new teachers, or teachers rated as ineffective, developing, or effective.	
(D)(2)	D-4	Costs associated with training of principal evaluators (including superintendents, assistant superintendents, etc.) to implement locally negotiated evaluation systems consistent with Education Law § 3012-c.	<p>Percentage of effective and highly effective principals as identified through a comprehensive evaluation system for principals based on multiple measures of effectiveness (including student achievement measures, which would comprise 40% of principal evaluations and ratings) as described in Education Law section 3012-c.</p> <p><i>Disaggregate</i> by: the 4 Rating Categories: Ineffective, Developing, Effective, and Highly Effective.</p> <p>AND</p> <p>Explain your methodology for estimating the 2010-11 percentages of principals in each performance category.</p>
(D)(2)	D-5	Costs associated with providing coaching, induction support, and differentiated professional development to implement principal improvement plans for principals identified as ineffective or developing.	
(D)(2)	D-6	Providing supplemental compensation, consistent with local collective bargaining agreements (where applicable), through a career ladder program to highly effective principals who mentor, coach, or provide professional development to principal interns, new principals, or principals rated ineffective, developing, or effective.	

<sup>9</sup> Please see “Participating LEA Requirements: Teacher and Principal Evaluation” above for a full description of the requirements school districts and public charter schools must meet to be eligible for RTTT funding to implement section D activities.

NYS Plan Element	Activity Code	Allowable Activity	Required Performance Metric(s) for the Activity
(D)(3)	D-7	Provide supplemental compensation, consistent with local collective bargaining agreements (where applicable), through a career ladder program to highly effective principals who transfer from low or moderate needs schools to high needs schools.	Percentage of highly effective principals in high needs schools. <i>Disaggregate</i> by: the 4 Rating Categories: Ineffective, Developing, Effective, and Highly Effective. AND Explain your methodology for estimating the 2010-11 percentages of principals in each performance category.
(D)(3)	D-8	Provide supplemental compensation, consistent with local collective bargaining agreements, through a career ladder program to highly effective teachers in high needs schools who mentor, coach, or provide professional development to student teachers, new teachers, or teachers rated as ineffective, developing, or effective in high needs schools.	Percentage of highly effective teachers teaching in high needs schools. <i>Disaggregate</i> by: the 4 Rating Categories: Ineffective, Developing, Effective, and Highly Effective. AND
(D)(3)	D-9	Provide supplemental compensation, consistent with local collective bargaining agreements, through a career ladder program to effective or highly effective teachers or principals who transfer from low or moderate needs schools to high needs schools.	Explain your methodology for estimating the 2010-11 percentages of principals in each performance category.
(D)(5)	D-10	Partner with higher education institutions to conduct rigorous, random assignment studies of the effectiveness of sustained professional development activities (minimum 40 hours/school year of instruction or active coaching and aligned with enhanced New York State Standards [including the Common Core Standards]) in raising student achievement as measured by performance on state tests, CTE certification/credential assessments, and those assessments which, as of September 30, 2010, the Department has approved pursuant to 8 NYCRR §100.2(f).	Using professional development to increase the percentage of effective and highly effective teachers. <i>Disaggregate</i> by: the 4 Rating Categories: Ineffective, Developing, Effective, and Highly Effective. AND Explain your methodology for estimating the 2010-11 percentages of teachers in each performance category.

NYS Plan Element	Activity Code	Allowable Activity	Required Performance Metric(s) for the Activity
(D)(3)	D-11	Provide supplemental compensation, consistent with local collective bargaining agreements, through a career ladder program to highly effective teachers in hard-to-staff subjects or specialty areas in high needs schools who mentor, coach, or provide professional development to student teachers, new teachers, or teachers rated as ineffective, developing, or effective in high needs schools.	<p>Percentage of effective and highly effective teachers teaching hard-to-staff subjects and specialty areas, including STEM fields and special education, and teachers of English Language Learners, in high needs schools.</p> <p>Specify each hard-to-staff or specialty area in high needs schools selected as a focus for LEA RTTT initiatives.</p> <p>AND</p> <p><i>Disaggregate</i> by: the 4 Rating Categories: Ineffective, Developing, Effective, and Highly Effective.</p> <p>AND</p> <p>Explain your methodology for estimating the 2010-11 percentages of teachers in each performance category.</p>
(D)(3)	D-12	Provide supplemental compensation, consistent with local collective bargaining agreements, through a career ladder program to effective or highly effective teachers in hard-to-staff subjects or specialty areas who transfer from low or moderate needs schools to high needs schools.	

### Turning Around the Lowest Achieving Schools (Section E)

NYS Plan Element	Activity Code	Allowable Activity	Required Performance Metric(s) for the Activity
<p><i>The following two allowable activities are applicable for chronically under-performing schools not participating in the School Improvement Grant (SIG) program (i.e., schools in the Restructuring phase of the NYS Differentiated Accountability System that are not identified as "Persistently Lowest-Achieving School".</i></p> <p><b>Please Note:</b> Public charter schools are not permitted to spend their RTTT subgrant funds for Section E activities.</p>			
(E)(2)	E-1	Implementation of one of the four school intervention models (turnaround model, restart model, school closure, or transformation model) <sup>10</sup> consistent with the requirements of the New York State School Improvement Grant application.	<p><i>For each school selected</i>, percentage of students currently meeting State proficiency standards (Proficient or Advanced in ELA and Math in Grades 3-8, or % of entering freshman that earn Regents diplomas, score over 75 on the ELA Regents, and score over 80 on the Algebra Regents).</p> <p>AND</p> <p>Identify the intervention goals.</p>
(E)(2)	E-2	LEA and State-approved partner organization (EPO, CMO, charter school operator) planning activities for implementation of one of the four school intervention models in the following school year.	

<sup>10</sup> In order to be eligible for RTTT funding to implement the Transformation Model as an allowable activity, participating school districts must comply with the applicable requirements described in "Participating LEA Requirements: Teacher and Principal Evaluation" above.



## APPENDIX A: ESSENTIAL ELEMENTS OF THE RTTT NETWORK TEAMS

Each assurance area of the State's RTTT plan includes specific initiatives of the Board of Regents statewide education reform agenda. Therefore, participating LEAs will be required to spend their RTTT local allocations on specific activities designed to better prepare students to graduate from high school so as to be college- and career-ready as described in the RTTT application. Consistent with the State's RTTT plan, the *Final Scope of Work* requires participating LEAs to purchase services from a regional Network Team (if applicable) to implement the required activities listed in the *Preliminary Scope of Work*.

Network Teams will consist of experts in curriculum, data analysis, and instruction. NYSED recommends that each Network Team consist of at least the equivalent of three full-time professionals. To cover the majority of the State's school district LEAs, NYSED recommends that the BOCES be staffed with three-person teams that will each provide services to as many as 25 schools within their component districts. The State's Big 5 city school districts will build and maintain Network Teams to provide services to the schools within their own districts. Network Teams will support all RTTT initiatives and will work directly with educators in schools to provide consistent, high-quality professional development and related services to ensure successful statewide implementation of our RTTT plan. The Network Teams will work closely with districts' school-based *Inquiry Teams*<sup>11</sup> to make the instructional cycle dynamic and student-focused. The teams will also assist LEAs in coordinating and aligning RTTT initiatives with the existing professional development activities and results in the schools for which they are responsible.

Each participating school district *is required* to use up to 75% of its RTTT allocation to either:

- A. Purchase services of a BOCES RTTT Network Team; or
- B. Assure NYSED that it will participate in services provided by an alternative team determined by NYSED as offering services comparable in content and quality. A BOCES, school district, or public charter school will not have to create a new Network Team if it can demonstrate that its existing system provides services of an equivalent quality and range to those provided by RTTT Network Teams as outlined in the State's plan. The Department encourages participating school districts and their BOCES to work together to establish effective Network Team structures and functions that align with the State's plan and are within the participating LEA school districts' RTTT budgets for this activity.

Since public charter schools can purchase services from BOCES only under limited circumstances, they will not be required to participate in a BOCES-sponsored Network Team. Rather, public charter schools are required to use up to 75% of their RTTT allocation to purchase comparable services. As noted above, they may use up to 75% of their allocations as a single charter school or enter into collaborative arrangements with other public charter schools.

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<sup>11</sup> School-based Inquiry Teams – comprised of teachers, teacher leaders and administrators – are charged with becoming expert in accessing, understanding and using data to identify a change in instructional practice (e.g. teaching division of fractions) that will accelerate learning for a specific group of underperforming students. Based on what is learned from that experience, teams work with school staff to implement and monitor system-level change to benefit all students. The reflective practice that is used as the basis for the Inquiry Team's work is intended to support continual, evidence-based improvement of student learning. While each school is to have at least one Inquiry Team, more teams may be put in place should the school find it valuable to do so.

## Essential Functions of the Network Teams

The Network Teams will provide direct professional development, technical assistance and follow-up support to participating LEAs across the four RTTT assurance areas. The specific functions of the Network Team will fit within the following RTTT categories and include the following activities:

### Standards and Assessment

Provide professional development, technical assistance and follow-up support in:

- Implementing the Common Core standards and aligning instruction to the new standards and curricula.
- Implementing the State's comprehensive assessment program and adapting to more rigorous performance-based assessments.
- Building and functioning of the school-based inquiry teams to analyze student performance data (both quantitative and qualitative), make adjustments to instructional practices based on that data, and access instructional resources that will assist in instructional improvement.
- Developing effective instructional strategies for English language learners and students with disabilities.

### Data Systems to Support Instruction

Provide professional development, technical assistance and follow-up support in:

- Administrators' use of the e-portal for data entry, reporting, and analysis to support organizational and instructional decision-making and evaluation.
- Teachers' use of the e-portal for data entry, reporting, and analysis to support organizational and instructional decision-making and evaluation.
- Schools use of school-based *Inquiry Teams* which are comprised of teachers, teacher leaders and administrators who, with the assistance of the Network Team, make the instructional cycle dynamic and student focused. While each school is to have at least one inquiry team, more teams may be put in place should the school find it valuable to do so. Specifically, each Inquiry Team is charged with becoming expert in accessing, understanding and using data to identify a change in instructional practice (e.g.: teaching division of fractions) that will accelerate learning for a specific group of underperforming students. Based on what is learned from that experience, teams work with school staff to implement and monitor system-level change to benefit all students. The reflective practice that is used as the basis for the Inquiry Team's work is intended to support continual, evidence-based improvement of student learning.

### Great Teachers and Leaders

Provide professional development, technical assistance and follow-up support in:

- School-level implementation of the comprehensive evaluation system for teachers and principals.
- Using teacher and leader evaluation data from the comprehensive evaluation system for decision-making.
- Developing and implementing improvement plans for teachers and leaders based on evaluation system-data.
- Ensuring compliance with the State-Plan for the equitable distribution of highly qualified and effective teachers.

### Turning Around Lowest Achieving Schools

- Implementing one of the four turnaround models outlined in the State's plan.

## Essential Structures of the Network Teams

Each Network Team will possess professional expertise in building school and district capacity for curriculum and instruction; building and administering assessments; and data collection, analysis and use. The specific expertise of the Network Teams must be directly related to the RTTT assurance areas and goals. NYSED recommends that:

1. Each Network Team consist of at least the equivalent of three full-time professionals
2. Participating LEAs define the roles and responsibilities of each team member, based on the essential functions of the Network Teams and consistent with the particulars of the local setting.
3. LEAs not repurpose existing staff from RSC-TASCs, BETACs and other such organizations to fill these roles

Additionally, the Department will require all Network Teams to participate in NYSED-sponsored professional development activities.

There are three types of Network Teams throughout New York State: BOCES-based; Big 5-based; and Network Team Equivalents (NTEs).

BOCES-based Network Teams: New York State's 37 BOCES and their affiliated Regional Information Centers will house Network Team services for component participating LEAs. The Network Team services in each BOCES will be integrated into a single coordinated effort, and aligned with other professional development and capacity building initiatives that are themselves aligned to the RTTT initiatives and Regents policy directions. Each BOCES will form a pre-determined number of Network Teams, each serving roughly 25 schools, based upon the total number of component schools within its service region.

The District Superintendents who head each BOCES will report to the NYSED Associate Commissioner for District Services (acting for the Commissioner of Education) in carrying out all Network Team essential functions. The District Superintendent in each BOCES will work with superintendents of the component school districts to ensure that the network teams and other BOCES experts in data, curriculum, and instruction help to build district capacity to support schools for continuous student improvement.

Big 5-based Network Teams: The Big 5 school districts are larger than all other districts and have greater proportions and concentrations of at-risk students and low achieving schools. In addition, these districts maintain a different funding and service relationship with the BOCES than other participating LEAs. Based on these unique features, which warrant more specialized, site-specific, and intensive involvement, the Big 5 school districts will house and maintain district-based Network Teams.

NYSED will work directly with the Big 4 school districts (Buffalo, Rochester, Syracuse, and Yonkers) to create local systems of Network Teams and continue to support the development of the NYC DOE school inquiry team model. NYSED leaders will work directly with the superintendents and the leaders in curriculum, assessment, and data within each of the Big 5 districts to evaluate and improve upon the local Network Teams.

Network Team Equivalents (NTEs): The Department recognizes there may be participating LEAs that have an existing local or regional infrastructure (within a single LEA, in a consortium of LEAs, or in a BOCES) with the capacity for delivering the functions of the Network Teams. In such cases, a Superintendent of a participating LEA will be asked to sign an assurance which certifies to NYSED that:

1. The LEA's schools will receive the services and essential functions from the Network Team as outlined in this document. Individuals providing these services must be described and resumes including relevant experience must be submitted with the assurance.
2. The LEA will agree to implement and report the required performance metrics and outcome measures associated with Network Teams to NYSED on a regular basis.

### **Cost Structure for Network Teams**

Because of regional cost differences and because not all areas/LEAs will require a network team purchased with RTTT allocations, it would be impossible for NYSED to determine with accuracy the exact cost of these teams. LEAs and BOCES should work together determine if they: 1) have network team equivalence; 2) need only a portion of a network team (e.g., a regional data person); or 3) a full Network Team. Once this decision is made, budgets can be built accordingly based on the regional costs and characteristics sought by each LEA/region.

## APPENDIX B: U.S. DEPARTMENT OF EDUCATION DESCRIPTION OF FOUR SCHOOL TURNAROUND MODELS

( [http://www.ed.gov/programs/racetothetop/application.doc#\\_Toc245553795](http://www.ed.gov/programs/racetothetop/application.doc#_Toc245553795) )

School Improvement grant guidelines highlight four models for dramatic school intervention in persistently lowest-achieving schools: the turnaround model; the restart model; school closure; and the transformation model. Districts with schools that have been identified as persistently lowest achieving will be required to select one of the four models and submit an intervention plan to the Commissioner for approval. These same models must also be used by districts since New York received Race to the Top funding. These models all include elements of intervention strategies that have already been implemented in New York State. Below are the models as described in the Race to the Top application:

- (a) Turnaround model. (1) A turnaround model is one in which an LEA must--
  - (i) Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates;
  - (ii) Use locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,
    - (A) Screen all existing staff and rehire no more than 50 percent; and
    - (B) Select new staff;
  - (iii) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school;
  - (iv) Provide staff with ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;
  - (v) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA or SEA, hire a "turnaround leader" who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;
  - (vi) Use data to identify and implement an instructional program that is research-based and "vertically aligned" from one grade to the next as well as aligned with State academic standards;
  - (vii) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;
  - (viii) Establish schedules and implement strategies that provide increased learning time (as defined in this notice); and
  - (ix) Provide appropriate social-emotional and community-oriented services and supports for students.
- (2) A turnaround model may also implement other strategies such as—
  - (i) Any of the required and permissible activities under the transformation model; or
  - (ii) A new school model (e.g., themed, dual language academy).
- (b) Restart model. A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. (A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and

resources among schools. An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.) A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

(c) School closure. School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.

(d) Transformation model. A transformation model is one in which an LEA implements each of the following strategies:

(1) Developing and increasing teacher and school leader effectiveness.

(i) Required activities. The LEA must--

(A) Replace the principal who led the school prior to commencement of the transformation model;

(B) Use rigorous, transparent, and equitable evaluation systems for teachers and principals that--

(1) Take into account data on student growth (as defined in this notice) as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high-school graduations rates; and

(2) Are designed and developed with teacher and principal involvement;

(C) Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high-school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;

(D) Provide staff with ongoing, high-quality, job-embedded professional development (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies; and

(E) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation school.

(ii) Permissible activities. An LEA may also implement other strategies to develop teachers' and school leaders' effectiveness, such as--

(A) Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school;

(B) Instituting a system for measuring changes in instructional practices resulting from professional development; or

(C) Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority.

(2) Comprehensive instructional reform strategies.

(i) Required activities. The LEA must--

(A) Use data to identify and implement an instructional program that is research-based and “vertically aligned” from one grade to the next as well as aligned with State academic standards; and

(B) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.

(ii) Permissible activities. An LEA may also implement comprehensive instructional reform strategies, such as--

(A) Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective;

(B) Implementing a schoolwide “response-to-intervention” model;

(C) Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that limited English proficient students acquire language skills to master academic content;

(D) Using and integrating technology-based supports and interventions as part of the instructional program; and

(E) In secondary schools--

(1) Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement or International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low-achieving students can take advantage of these programs and coursework;

(2) Improving student transition from middle to high school through summer transition programs or freshman academies;

(3) Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or

(4) Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.

(3) Increasing learning time and creating community-oriented schools.

(i) Required activities. The LEA must--

(A) Establish schedules and implement strategies that provide increased learning time (as defined in this notice); and

(B) Provide ongoing mechanisms for family and community engagement.

(ii) Permissible activities. An LEA may also implement other strategies that extend learning time and create community-oriented schools, such as--

(A) Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;

(B) Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;

(C) Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or

(D) Expanding the school program to offer full-day kindergarten or pre-kindergarten.

(4) Providing operational flexibility and sustained support.

(i) Required activities. The LEA must--

(A) Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates; and

(B) Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).

(ii) Permissible activities. The LEA may also implement other strategies for providing operational flexibility and intensive support, such as--

(A) Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or

(B) Implementing a per-pupil school-based budget formula that is weighted based on student needs.

If a school identified as a persistently lowest-achieving school has implemented, in whole or in part within the last two years, an intervention that meets the requirements of the turnaround, restart, or transformation models, the school may continue or complete the intervention being implemented.



## **APPENDIX C: TERMS AND CONDITIONS, ASSURANCES AND CERTIFICATIONS FOR FEDERAL PROGRAM FUNDS UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT (ARRA)**

The following terms and conditions, assurances and certifications are intended to facilitate the release of newly awarded federal funds under the American Recovery and Reinvestment Act (ARRA). By signing the certification on the application cover page, the District Superintendent, Superintendent or Chief Executive Officer of the sub-grantee is ensuring:

- required accountability and compliance with all applicable federal and State laws, regulations, and grants management requirements including ARRA Public Law 111-5 including the reporting requirements outlined in Section 1512 of the Act,
- maintenance and availability of records and information required for fiscal audit and program evaluation including, but not limited to an inventory of equipment purchased with funds under this Part, documentation of the fair market value of required in-kind contribution, if any; and data that documents progress toward the performance indicators,
- funds will be used only for activities and items authorized by section 14003 of ARRA and outlined in the approved Final Scope of Work,
- funds will be accounted for separately,
- title to materials and equipment obtained with these funds will be retained by the sub grantee to support grant activities or returned to the State Education Department,
- funds will not be used to provide financial assistance to students to attend private elementary or secondary schools in violation of section 14011 of ARRA,
- adequate space will be available to fully implement activities as described in the application and such space is in compliance with all applicable safety standards, and
- services provided with this grant will be physically and programmatically accessible to individuals with disabilities and their families.

### **Terms and Conditions**

Sub-grantees shall administer each ARRA sub-grant in accordance with the Act to the extent consistent with State Laws and regulations and use the funds in a highly cost effective manner consistent with The American Recovery and Reinvestment Act of 2009 and the United States Education Department principals and guidelines. Sub-grantees will also register on line with the United States Government's *Central Contractors Registration* at <http://www.ccr.gov>.

Sub-grantees shall report quarterly certain required standard data elements pertaining to the use of ARRA funds on time in a manner prescribed by the State and the New York State Education Department.

### **Buy American - Use of American Iron, Steel, and Manufactured Goods**

Sub-grantees may not use any funds obligated under this award for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufactured goods used in the project are produced in the United States.



## **Wage Rate Requirements**

*[This term and condition shall not apply to tribal contracts entered into by the Indian Health Service funded with this appropriation. (ARRA Title VII—Interior, Environment, and Related Agencies, Department of Health and Human Services, Indian Health Facilities)]*

Subject to further clarification issued by the Office of Management and Budget, and notwithstanding any other provision of law and in a manner consistent with other provisions of ARRA, all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to this award shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. With respect to the labor standards specified in this section, the Secretary of Labor shall have the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (64 Stat. 1267; 5 U.S.C. App.) and section 3145 of title 40, United States Code. (ARRA Sec. 1606)

## **Limit on Funds (ARRA)**

None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

## **Disclosure of Fraud or Misconduct**

Each recipient or sub-recipient awarded funds made available under the ARRA shall promptly refer to the Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. The Office of Inspector General can be reached at <http://www.oig.gov/fraud/hotline/>

## **ARRA: One-Time Funding**

Unless otherwise specified, ARRA funding to existent or new awardees should be considered one-time funding.

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## **ASSURANCES - NON-CONSTRUCTION PROGRAMS**

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As the duly authorized representative of the applicant, and by signing the application cover page, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-2), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction sub agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance

with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

**Standard Form 424B (Rev. 7-97), Prescribed by OMB Circular A-102, Authorized for Local Reproduction, as amended by New York State Education Department**

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### **CERTIFICATIONS AGAINST LOBBYING**

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Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of the Application Cover Page provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

#### **1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- (c) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including sub grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub recipients shall certify and disclose accordingly.

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**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION —  
LOWER TIER COVERED TRANSACTIONS**

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing the Application Cover Page, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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### **Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

***ED 80-0014, as amended by the New York State Education Department***

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### **GENERAL EDUCATION PROVISIONS ACT ASSURANCES**

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These assurances are required by the General Education Provisions Act for certain programs funded by the U.S. Department of Education.

As the authorized representative of the applicant, by signing the application cover page, I certify that:

- (1) that the local educational agency will administer each program covered by the application in accordance with all applicable statutes, regulations, program plans, and applications;
- (2) that the control of funds provided to the local educational agency under each program, and title to property acquired with those funds, will be in a public agency and that a public agency will administer those funds and property;
- (3) that the local educational agency will use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to that agency under each program;
- (4) that the local educational agency will make reports to the State agency or board and to the Secretary as may reasonably be necessary to enable the State agency or board and the Secretary to perform their duties and that the local educational agency will maintain such records, including the records required under section [1232f](#) of this title, and provide access to those records, as the State agency or board or the Secretary deem necessary to perform their duties;
- (5) that the local educational agency will provide reasonable opportunities for the participation by teachers, parents, and other interested agencies, organizations, and individuals in the planning for and operation of each program;
- (6) that any application, evaluation, periodic program plan or report relating to each program will be made readily available to parents and other members of the general public;
- (7) that in the case of any project involving construction –
- (A) the project is not inconsistent with overall State plans for the construction of school facilities, and
  - (B) in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed by the Secretary under section [794](#) of title [29](#) in order to ensure that facilities constructed with the use of Federal funds are accessible to and usable by individuals with disabilities;
- (8) that the local educational agency has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each program significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects; and
- (9) that none of the funds expended under any applicable program will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.



## PARTICIPATING LEA FINAL SCOPE OF WORK – STUDENT OUTCOMES AND WORK PLAN

Fall 2010

[illegible]

Name of School District or Public Charter School:

Contact Person:

Title:

Phone Number: (     ) - \_\_\_\_\_  
Area Code

Email Address: \_\_\_\_\_

I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, the *Terms and Conditions, Assurances and Certifications for Federal Program Funds Under the American Recovery and Reinvestment Act (ARRA) contained in Appendix C of the Final Scope of Work* Guidance Document, and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

**School District Superintendent/Public Charter School Governing Board Chair** (or equivalent authorized official)

Name: \_\_\_\_\_ Title: \_\_\_\_\_ / /2010  
Date \_\_\_\_\_



## LEA GOALS FOR STUDENT OUTCOMES

*Measurable, substantial progress towards college and career success and closing gaps in achievement*

At the center of the Board of Regents' education reform plan is their commitment that all students graduate from high school ready for postsecondary education and employment. This commitment is demonstrated in the Race to the Top State Plan by the Board setting ambitious targets for improvements in student results over the four years of the grant award as noted in the chart below under the columns headed "NYS."

**INSTRUCTIONS:** Record your LEA's current performance on each of the State Plan metrics on the table below (column labeled, BASELINE 2009-10, LEA). Compare your current student performance results to the statewide performance results listed in the table.

- A. On all measures where your LEA performance is below the statewide average, enter goals for annual improvements in the outcomes. The four annual increases must be greater than the State targets listed in the column "TOTAL 4 YR GAINS, NYS."
- B. On all measures where your LEA performance is at or above the statewide average, enter goals for annual improvements in outcomes. The four annual increases must be equal to, or greater than, the State targets listed in the column "TOTAL 4 YR GAINS, NYS."

As an LEA works to set its targets for student outcomes, the State Education Department recommends that the LEA examine multiple prior-year results data so that it can determine trends in performance, which should be a helpful factor in setting the targets.

**TABLE 1: All Students**

STUDENT OUTCOME MEASURES	BASELINE 2009-10		ANNUAL PERFORMANCE TARGETS <sup>1</sup> (percentage points gains)								TOTAL 4 YR GAINS	
			2010-11		2011-12		2012-13		2013-14			
	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA
% Proficient or Advanced (3 or 4) on NYS 4 <sup>th</sup> Grade ELA Assessment	56.7%		2		2		3		2		9	
% Proficient or Advanced (3 or 4) on NYS 4 <sup>th</sup> Grade Math Assessment	63.8%		1		2		2		1		6	
% Proficient or Advanced (3 or 4) on NYS 8 <sup>th</sup> Grade ELA Assessment	51.0%		2		3		3		2		10	
% Proficient or Advanced (3 or 4) on NYS 8 <sup>th</sup> Grade Math Assessment	54.8%		2		3		3		3		11	

**Source Note:** All numbers are rounded. The 4<sup>th</sup> and 8<sup>th</sup> grade ELA and math assessment data are from the 2009-10 school year as was reported in the SED news release on July 28, 2010.

<sup>1</sup>Targets have been adjusted from the State's RTTT application. Since baseline data have been updated, the targets are for 4 years, not 5 years. For more information about the NYS's RTTT performance target, please see Section A of the application:

[http://usny.nysed.gov/rttt/NYS\\_RTtt\\_Criteria\\_Priorities\\_Budget.pdf](http://usny.nysed.gov/rttt/NYS_RTtt_Criteria_Priorities_Budget.pdf)



**TABLE 2: Gap Closing**

	BASELINE % Proficient 2009-10		ANNUAL PERFORMANCE TARGETS (percentage points gains) <sup>2</sup>								TOTAL 4 YR GAINS	
			2010-11		2011-12		2012-13		2013-14			
	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA
NYS 4 <sup>th</sup> Grade ELA Assessment												
Black or African-American students	36.7%		2		3		4		4		13	
Hispanic or Latino students	39.8%		2		3		4		4		13	
Students with Disabilities	18.7%		1		3		3		3		10	
English Language Learners	20.2%		2		3		3		3		11	
Economically Disadvantaged students	42.6%		3		4		4		3		14	
NYS 4 <sup>th</sup> Grade Math Assessment												
Black or African-American students	45.3%		2		3		3		2		10	
Hispanic or Latino students	50.8%		2		3		3		2		10	
Students with Disabilities	29.4%		1		2		3		2		8	
English Language Learners	35.8%		2		3		3		2		10	
Economically Disadvantaged students	52.7%		2		3		3		2		10	
NYS 8 <sup>th</sup> Grade ELA Assessment												
Black or African-American students	30.6%		3		4		4		3		14	
Hispanic or Latino students	33.2%		3		4		4		4		15	
Students with Disabilities	11.4%		3		3		4		3		13	
English Language Learners	3.6%		4		4		5		4		17	
Economically Disadvantaged students	35.3%		3		3		4		3		13	
NYS 8 <sup>th</sup> Grade Math Assessment												
Black or African-American students	32.1%		3		4		4		3		14	
Hispanic or Latino students	38.5%		3		3		4		3		13	
Students with Disabilities	16.8%		3		3		4		3		13	
English Language Learners	24.3%		3		4		4		3		14	
Economically Disadvantaged students	41.3%		3		3		4		3		13	

<sup>2</sup> Targets have been adjusted from the State's RTTT application. Since baseline data have been updated, the targets are for 4 years, not 5 years.

**TABLE 3: High School Performance**

STUDENT OUTCOME METRICS	BASELINE 2008-09		ANNUAL PERFORMANCE TARGETS (percentage points gains)								TOTAL 4 YR GAINS	
			2010-11 (2007 cohort)		2011-12 (2008 cohort)		2012-13 (2009 cohort)		2013-14 (2010 cohort)			
	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA
% Students Scoring At or Above 75 on the English Language Arts Regents Exam	56%		5		2		3		3		13	
% Students Scoring At or Above 80 on the Math Regents Exam Required for Graduation	42%		6		3		4		4		17	
Four-year cohort high school graduation rate	72%		72%		72%		74%		76%		4	

**Source Note:** All numbers are rounded. Regents exams and graduation rate data are for the 2005 total cohort after 4 years. The assessment and graduation data are as of June 2009 as was certified by LEAs on July 30, 2009. When reporting the 2010-11 school year results, the State must adopt the new federal cohort definition (cohort membership based on one day of enrollment vs. five months of enrollment). When these results become available, the State will provide a new baseline for the 2006 cohort through June 2010 that incorporates this federal cohort definition. Your annual performance targets may need to be adjusted at this time.

**TABLE 4: College Persistence**

STUDENT OUTCOME METRICS	BASELINE		ANNUAL PERFORMANCE TARGETS							
			2010-11		2011-12		2012-13		2013-14	
	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA	NYS	LEA
% High school graduates enrolled in a public New York State institution of higher education within 16 months of graduation (baseline: 2006-07)	45%		46%		49%		51%		53%	
% Students returning in the fall who started a first-time, full-time program in New York State the year prior (baseline: 2007-08)	72%		73%		74%		75%		76%	
Please provide baseline data to the extent available and explain the methodology for calculating. In the long term, the New York State longitudinal data system will provide this information for students who remain in New York State. (response is limited to 500 characters)										

Based on your analysis of the LEA's annual goals for student outcomes data in the table above compared to the State's RTTT plan goals, please select 3-5 outcome metrics your school district or public charter school will focus its RTTT initiatives to improve student outcomes:

Student Outcome Metric: Priorities for Improvement	Rationale for Selecting the Metric
1.	
2.	
3.	
4.	
5.	

## PARTICIPATING LEA REQUIREMENTS

<b>Network Team</b>	Check One:	<input type="checkbox"/> LEA will participate in an RTTT-supported Network Team through the local BOCES	<b>Enter estimated total budgeted amount: (not to exceed 75% of LEA's subgrant)</b>	\$ _____	
		<input type="checkbox"/> LEA will participate in BOCES-managed equivalent Team (certified by NYSED as providing services consistent with the RTTT Plan) without using RTTT funds	\$0		
		<input type="checkbox"/> LEA requests that it be approved to operate an Equivalent Network Team (as a single LEA or as part of a consortium of LEAs) providing services consistent with RTTT Plan <b>NOTE: Please submit form "REQUEST TO CERTIFY A NETWORK TEAM EQUIVALENT"</b>	<b>Enter estimated total budgeted amount: (not to exceed 75% of LEA's subgrant)</b>	\$ _____	

<b>Teacher and Principal Evaluation System</b>	<p>To receive reimbursement for <b>Section D</b> activities relating to implementation of the new teacher and principal evaluation system participating <b>school districts must</b> provide the following, as applicable:</p> <ol style="list-style-type: none"> <li>1. Certification that any new and/or existing collective bargaining agreements are consistent with and/or have been amended and/or modified, as necessary, to require that all <i>classroom teachers</i> are evaluated in accordance with the provisions of Education Law §3012-c; <b>and</b></li> <li>2. Certification that any new and/or existing collective bargaining agreements are consistent with and/or have been amended and/or modified, as necessary, to require that, all <i>building principals</i> are evaluated in accordance with the provisions of Education Law §3012-c .</li> <li>3. To the extent that a school district employs teachers and/or principals that are not represented by collective bargaining agent(s), certification that it will evaluate those teachers and principals in accordance with all applicable provisions of Education Law §3012-c and Commissioner's regulations.</li> </ol>
	<p>To receive reimbursement for <b>Section D</b> activities relating to implementation of the new teacher and principal evaluation system, participating <b>charter schools must</b> provide the following, as applicable:</p> <ol style="list-style-type: none"> <li>1. Certification that any new and/or existing collective bargaining agreements are consistent with and/or have been amended and/or modified, as necessary, to require that all <i>classroom teachers</i> are evaluated using a comprehensive annual evaluation system that is consistent with the three elements of Education Law §3012-c specified in the <i>Final Scope of Work</i> Guidance Document,(pp. 3-4) <b>and</b></li> <li>2. Certification that any new and/or existing collective bargaining agreements are consistent with and/or have been amended and/or modified, as necessary, to require that all <i>building principals</i> are evaluated using a comprehensive annual evaluation system that is consistent with the three elements of Education Law §3012-c specified the <i>Final Scope of Work</i> Guidance Document, (pp. 3-4).</li> <li>3. To the extent that a charter school employs teachers and/or principals that are not represented by collective bargaining agents, certification that all such classroom teachers and building principals will be evaluated using a comprehensive annual evaluation system that is consistent with the three elements of Education Law §3012-c specified in the <i>Final Scope of Work</i> Guidance Document (pp. 3-4).</li> </ol>
	<p>To receive reimbursement for implementation of a <b>Section E Transformation Model</b>, participating LEA school districts must provide the following certifications, as applicable, with respect to the classroom teachers and building principals in those schools:</p> <ol style="list-style-type: none"> <li>1. Certification that any new and/or existing collective bargaining agreements are consistent with and/or have been amended and/or modified, as necessary, to require that all <i>classroom teachers</i> assigned to school(s) in which the Transformation Model is to be implemented are evaluated in accordance with the provisions of Education Law §3012-c; <b>and</b></li> <li>2. Certification that any new and/or existing collective bargaining agreements are consistent with and/or have been amended and/or modified, as necessary, to require that, all <i>building principals</i> assigned to school(s) in which the Transformation Model is to be implemented are evaluated in accordance with the provisions of Education Law §3012-c.</li> <li>3. To the extent that a school district employs teachers and/or principals that are not represented by collective bargaining agent(s), certification that it will evaluate all such classroom teachers and building principals assigned to school(s) in which the Transformation Model will be implemented in accordance with all applicable provisions of Education Law §3012-c and Commissioner's regulations.</li> </ol>

## Section D Activities – Certification Required

In the table below, please enter the following information about the LEA's plans to implement the provisions of Education Law §3012-c and any applicable implementing regulations:

<b>ACTIONS:</b> Steps LEA will take to implement.	<b>TIMEFRAMES:</b> Date when each action is expected to start and finish.	<b>KEY PERSONNEL:</b> Name and title of the person who will lead implementation.	<b>BUDGET TOTAL:</b> Estimated total of RTTT funds that will be used to implement the Activity.
---	---	--	---

**PERFORMANCE MEASURE:** The evidence the LEA will use to determine whether it is making progress with implementation and/or is successful in implementation. This measure should be phrased in terms of a METRIC (a data element such as student outcomes and/or an important milestone) and a TARGET (the numeric goal/standard that represents success on the metric).

ACTIONS	TIMEFRAMES		KEY PERSONNEL	BUDGET TOTAL
	Start	Finish		
				\$ _____
<b>PERFORMANCE MEASURE(S):</b>				
<b>METRIC</b>			<b>TARGET</b>	
<b>Total Budgeted RTTT Funding for Participating LEA Requirements (Network Teams and Teacher/Principal Evaluation System):</b>				\$ _____

## ALLOWABLE ACTIVITIES

If the *Total Budgeted Amount for Participating LEA Requirements* is less than the LEA's total RTTT allocation, please complete the chart below for each activity from the Menu of Allowable Activities your LEA will undertake.

**NOTE:** The Menu of Allowable Activities and associated Activity Codes can be found in Section III of the Guidance Document.

In the tables below, please enter the following information about the LEA's plans to implement the any of the Allowable Activities:			
<b>ACTIONS:</b> Steps the LEA will take to implement.	<b>TIMEFRAMES:</b> Date when each action is expected to start and finish.	<b>KEY PERSONNEL:</b> Name and title of the person who will lead implementation.	<b>BUDGET TOTAL:</b> Estimated total of RTTT funds that will be used to implement the Allowable Activity.
<b>PERFORMANCE MEASURE:</b> The evidence the LEA will use to determine whether it is making progress with implementation and/or is successful in implementation. This measure should be phrased in terms of a METRIC (a data element such as student outcomes and/or an important milestone) and a TARGET (the numeric goal/standard that represents success on the metric).			

SECTION E Allowable Activity – TRANSFORMATION MODEL				
Certification Required				
<b>ACTIVITY CODE:</b>	<b>BRIEFLY EXPLAIN HOW THIS ACTIVITY WILL CONTRIBUTE TO YOUR STUDENT OUTCOME GOALS (on page 4 of this document) — Response limited to 500 characters:</b>			
ACTIONS		TIMEFRAMES		KEY PERSONNEL
		Start	Finish	
				\$_____
PERFORMANCE MEASURE(S):				
METRIC			TARGET	

Allowable Activity #1				
ACTIVITY CODE:	BRIEFLY EXPLAIN HOW THIS ACTIVITY WILL CONTRIBUTE TO YOUR STUDENT OUTCOME GOALS (on page 4 of this document) — Response limited to 500 characters:			
ACTIONS	TIMEFRAMES		KEY PERSONNEL	BUDGET TOTAL
	Start	Finish		
				\$ _____
PERFORMANCE MEASURE(S):				
METRIC			TARGET	

Allowable Activity #2				
ACTIVITY CODE:	BRIEFLY EXPLAIN HOW THIS ACTIVITY WILL CONTRIBUTE TO YOUR STUDENT OUTCOME GOALS (on page 4 of this document) — Response limited to 500 characters:			
ACTIONS	TIMEFRAMES		KEY PERSONNEL	BUDGET TOTAL
	Start	Finish		
				\$ _____
PERFORMANCE MEASURE(S):				
METRIC			TARGET	

LEAs were required to submit additional pages if they included more than two allowable activities in their proposed Scope of Work plan.

## RTTT Annual Budget Template for Participating LEAs

During Year 1 of the Race to the Top grant period, the New York State Education Department designed and built an online system end for participating LEAs to submit annual budgets.

### **Pre Populated Data (LEA landing page)**

- LEA Name
- Address
- Contact Name
- Telephone Number
- Email Address of Superintendent/School CEO/listed contact
- BEDS Code
- Project Code (e.g.; xxxx-11-xxxx)
- DUNS Number (LEAs complete)
- Central Contractor Registration (CCR) valid until (LEAs complete)
- Collective Bargaining Agreement Received Date
- Total Four Year Allocation
- Amount Expended in 20xx-xx
- Amount Available for 20xx-xx

### **Instructions**

- Review Guidance Document located at <http://usny.nysed.gov/rttt/>.
- Review for accuracy the District's assigned DUNS code and date until which the CCR is valid.
- Update DUNS code and valid CCR date if necessary.
- Select Continue if you wish to proceed.
- Enter Program Narrative.
- Enter Budget Summary with activity codes and budget amounts.
- Read Segregation of Funds Statement.
- Read Certification Statement.
- Click Certify and Submit button.

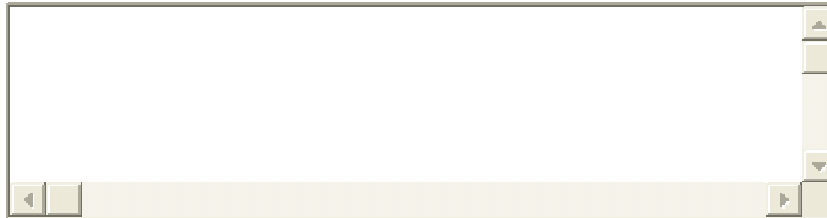
### **Part 1**

#### **Narrative Instructions:**


Please provide a brief narrative explaining how your LEA intends to use RTTT funds. Provide a narrative for each activity. Please note that all activities should be consistent with the activity level budgets that you submitted previously with the LEA Scope of Work (SOW). Instructions on how to submit a revised SOW, and when one is required, are posted at <http://usny.nysed.gov/arra/rttt/>.


If you have questions regarding this process, please submit them to the [RTTT@mail.nysed.gov](mailto:RTTT@mail.nysed.gov) email box or call 518-474-5520.


## Narrative



## Usage Tips

Click the  to add a budget item.

Click the  to edit a budget item.

Click the  to delete a budget item.

## Budget Summary

2011-12 School Year Budget			
Activity Code	Budget Category	Activity Budget	Total

## Part 2

### Submit and Certify

Superintendents or CEOs must complete the Chief Administrator's Certification section by checking the box to indicate that you have read the Terms and Conditions associated with expending RTTT funds and clicking the Certify and Submit button.

### Chief Administrator's Certification

By signing this certification you are ensuring required accountability and compliance with all applicable federal and State laws, regulations, and grants management requirements including ARRA Public Law 111-5 and Public Law 111-226, including reporting requirements outlined in Section 1512 of the Act. Additionally, you certify that you will comply with required cash management procedures, certifications, assurances, recordkeeping and reporting requirements for funds received through ARRA.



*I hereby certify that the Race To The Top (RTTT) Funds allocated to the School District will be expended as indicated in the budget summary above and that these expenditures will be in compliance with applicable Federal and State laws and regulations.*



(Please place a check in the box) I further submit I have read and understand any [Terms and Conditions](#) associated with the receipt and expenditure of Federal Race to the Top funds.



New York State Race to the Top Plan

## PARTICIPATING LEA FINAL SCOPE OF WORK – REQUEST TO CERTIFY A NETWORK TEAM EQUIVALENT

Fall 2010

### Description of RTTT Network Teams

Each assurance area of the State's RTTT plan includes specific initiatives of the Board of Regents statewide education reform agenda. Therefore, participating LEAs will be required to spend their RTTT local allocations on specific activities designed to better prepare students to graduate from high school so as to be college- and career-ready as described in the RTTT application. Consistent with the State's RTTT plan, the *Final Scope of Work* requires participating LEAs to purchase services from a regional Network Team (if applicable) to implement the required activities listed in the *Preliminary Scope of Work*.

Network Teams will consist of experts in curriculum, data analysis, and instruction. NYSED recommends that each Network Team consist of at least the equivalent of three full-time professionals. To cover the majority of the State's school district LEAs, NYSED recommends that the BOCES be staffed with three-person teams that will each provide services to as many as 25 schools within their component districts. The State's Big 5 city school districts will build and maintain Network Teams to provide services to the schools within their own districts. Network Teams will support all RTTT initiatives and will work directly with educators in schools to provide consistent, high-quality professional development and related services to ensure successful statewide implementation of our RTTT plan. The Network Teams will work closely with districts' school-based *Inquiry Teams*<sup>1</sup> to make the instructional cycle dynamic and student-focused. The teams will also assist LEAs in coordinating and aligning RTTT initiatives with the existing professional development activities and results in the schools for which they are responsible.

Each participating school district is required to use up to 75% of its RTTT allocation to either:

- A. Purchase services of a BOCES RTTT Network Team; or
- B. Assure NYSED that it will participate in services provided by an alternative team determined by NYSED as offering services comparable in content and quality. A BOCES, school district, or public charter school will not have to create a new Network Team if it can demonstrate that its existing system provides services of an equivalent quality and range to those provided by RTTT Network Teams as outlined in the State's plan. The Department encourages participating school districts and their BOCES to work together to establish effective Network Team structures and functions that align with the State's plan and are within the participating LEA school districts' RTTT budgets for this activity.

Since public charter schools can purchase services from BOCES only under limited circumstances, they will not be required to participate in a BOCES-sponsored Network Team. Rather, public charter schools are required to use up to 75% of their RTTT allocation to purchase comparable services. As noted above, they may use up to 75% of their allocations as a single charter school or enter into collaborative arrangements with other public charter schools.

<sup>1</sup>School-based Inquiry Teams – comprised of teachers, teacher leaders and administrators – are charged with becoming expert in accessing, understanding and using data to identify a change in instructional practice (e.g. teaching division of fractions) that will accelerate learning for a specific group of underperforming students. Based on what is learned from that experience, teams work with school staff to implement and monitor system-level change to benefit all students. The reflective practice that is used as the basis for the Inquiry Team's work is intended to support continual, evidence-based improvement of student learning. While each school is to have at least one Inquiry Team, more teams may be put in place should the school find it valuable to do so.

## **Essential Functions of the Network Teams**

The Network Teams will provide direct professional development, technical assistance and follow-up support to participating LEAs across the four RTTT assurance areas. The specific functions of the Network Team will fit within the following RTTT categories and include the following activities:

### Standards and Assessment

Provide professional development, technical assistance and follow-up support in:

- Implementing the Common Core standards and aligning instruction to the new standards and curricula.
- Implementing the State's comprehensive assessment program and adapting to more rigorous performance-based assessments.
- Building and functioning of the school-based inquiry teams to analyze student performance data (both quantitative and qualitative), make adjustments to instructional practices based on that data, and access instructional resources that will assist in instructional improvement.
- Developing effective instructional strategies for English language learners and students with disabilities.

### Data Systems to Support Instruction

Provide professional development, technical assistance and follow-up support in:

- Administrators' use of the e-portal for data entry, reporting, and analysis to support organizational and instructional decision-making and evaluation.
- Teachers' use of the e-portal for data entry, reporting, and analysis to support organizational and instructional decision-making and evaluation.
- Schools use of school-based *Inquiry Teams* which are comprised of teachers, teacher leaders and administrators who, with the assistance of the Network Team, make the instructional cycle dynamic and student focused. While each school is to have at least one inquiry team, more teams may be put in place should the school find it valuable to do so. Specifically, each Inquiry Team is charged with becoming expert in accessing, understanding and using data to identify a change in instructional practice (e.g.: teaching division of fractions) that will accelerate learning for a specific group of underperforming students. Based on what is learned from that experience, teams work with school staff to implement and monitor system-level change to benefit all students. The reflective practice that is used as the basis for the Inquiry Team's work is intended to support continual, evidence-based improvement of student learning.

### Great Teachers and Leaders

Provide professional development, technical assistance and follow-up support in:

- School-level implementation of the comprehensive evaluation system for teachers and principals.
- Using teacher and leader evaluation data from the comprehensive evaluation system for decision-making.
- Developing and implementing improvement plans for teachers and leaders based on evaluation system-data.
- Ensuring compliance with the State-Plan for the equitable distribution of highly qualified and effective teachers.

### Turning Around Lowest Achieving Schools

- Implementing one of the four turnaround models outlined in the State's plan.

## **Essential Structures of the Network Teams**

Each Network Team will possess professional expertise in building school and district capacity for curriculum and instruction; building and administering assessments; and data collection, analysis and use. The specific expertise of the Network Teams must be directly related to the RTTT assurance areas and goals. NYSED recommends that:

1. Each Network Team consist of at least the equivalent of three full-time professionals

2. Participating LEAs define the roles and responsibilities of each team member, based on the essential functions of the Network Teams and consistent with the particulars of the local setting.
3. LEAs not repurpose existing staff from RSC-TASCs, BETACs and other such organizations to fill these roles

Additionally, the Department will require all Network Teams to participate in NYSED-sponsored professional development activities.

There are three types of Network Teams throughout New York State: BOCES-based; Big 5-based; and Network Team Equivalents (NTEs).

BOCES-based Network Teams: New York State's 37 BOCES and their affiliated Regional Information Centers will house Network Team services for component participating LEAs. The Network Team services in each BOCES will be integrated into a single coordinated effort, and aligned with other professional development and capacity building initiatives that are themselves aligned to the RTTT initiatives and Regents policy directions. Each BOCES will form a pre-determined number of Network Teams, each serving roughly 25 schools, based upon the total number of component schools within its service region.

The District Superintendents who head each BOCES will report to the NYSED Associate Commissioner for District Services (acting for the Commissioner of Education) in carrying out all Network Team essential functions. The District Superintendent in each BOCES will work with superintendents of the component school districts to ensure that the network teams and other BOCES experts in data, curriculum, and instruction help to build district capacity to support schools for continuous student improvement.

Big 5-based Network Teams: The Big 5 school districts are larger than all other districts and have greater proportions and concentrations of at-risk students and low achieving schools. In addition, these districts maintain a different funding and service relationship with the BOCES than other participating LEAs. Based on these unique features, which warrant more specialized, site-specific, and intensive involvement, the Big 5 school districts will house and maintain district-based Network Teams.

NYSED will work directly with the Big 4 school districts (Buffalo, Rochester, Syracuse, and Yonkers) to create local systems of Network Teams and continue to support the development of the NYC DOE school inquiry team model. NYSED leaders will work directly with the superintendents and the leaders in curriculum, assessment, and data within each of the Big 5 districts to evaluate and improve upon the local Network Teams.

Network Team Equivalents (NTEs): The Department recognizes there may be participating LEAs that have an existing local or regional infrastructure (within a single LEA, in a consortium of LEAs, or in a BOCES) with the capacity for delivering the functions of the Network Teams. In such cases, a Superintendent of a participating LEA will be asked to sign an assurance which certifies to NYSED that:

1. The LEA's schools will receive the services and essential functions from the Network Team as outlined in this document. Individuals providing these services must be described and resumes including relevant experience must be submitted with the assurance.
2. The LEA will agree to implement and report the required performance metrics and outcome measures associated with Network Teams to NYSED on a regular basis.

## **Expenditure of Allocations**

Each Participating LEA *is required* to:

- A. Purchase services of a BOCES RTTT Network Team using its RTTT allocation. Because these funds are federal grant dollars, BOCES aid is not available for these services. Remaining monies must be used for the Allowable Activities as found in the Guidance Document; **or**
- B. Assure NYSED that it will participate in services provided by an alternative team determined by NYSED as offering services comparable in content and quality. A BOCES, school district, or public charter school will not have to create a new Network Team if it can demonstrate that its existing system provides services of an equivalent quality and range to those provided by RTTT Network Teams as outlined in the State's plan. Upon approval by NYSED, LEAs which demonstrate equivalence may use their allocations towards the Allowable Activities described in the Guidance Document.

**To request NYS Education Department certification of an existing local or regional infrastructure as an equivalent team, the BOCES or participating LEA must complete the attached assurance form.**

## Network Team Equivalence – Statement of Assurance

The Department recognizes there may be participating LEAs that have an existing local or regional infrastructure (within a single LEA, a BOCES or in a consortium of LEAs outside of a BOCES) with the capacity for delivering all or nearly all of the functions of the Network Teams as described in the *REGIONAL NETWORK TEAM EQUIVALENT (NTE)* section of this Scope of Work. The following assurances and certifications are designed to ensure that the school district/BOCES is receiving high quality service from qualified professionals in those areas directly related to the *Four Assurances* of Race to the Top. By signing the certification below, the District Superintendent, Superintendent or Chief Executive Officer of the LEA is ensuring that:

- All essential elements of the Network Team as described in the Guidance Document are met by our NTE;
- Individuals providing these equivalent services are qualified (in experience and professional preparation) to provide professional development, guidance, coordination and performance management of activities in the *four assurances* areas described in the Guidance Document (current resumes must be attached);
- NTE will provide descriptions of the Team's services and resumes of key personnel to participating LEAs;
- NTE will participate in NYSED-sponsored professional development activities.
- Performance of the individuals and teams will be measured and in full accordance with the guidelines and (if applicable) forms provided by NYSED and shall contain evaluation surveys completed by the school principal and Inquiry Team members;
- Outcome-based work plans directly related to the LEAs Final Scope(s) of Work will be completed and will be the basis for managing the performance of the NTE;
- Maintenance and availability of records and information required for audit and program evaluation including, but not limited to work plans, evaluations, will be kept on file and provided, upon request, to the Office of District Services for review;
- Periodic reports will be submitted to the Office of District Services in the form and timeframe prescribed by NYSED; and
- Any funds from LEA allocations will be used only for those activities listed on the *Menu of Allowable Activities* within the Guidance Document.

I hereby assure and certify that all foregoing requirements of a Network Team Equivalent are met in my district/region and I understand that failure to meet the performance goals will result in the immediate need for corrective action as directed by the Office of District Services.

**Signature required by the authorized signatory  
(BOCES District Superintendent, School District Superintendent, Public Charter School Board Chair)**

_____ Signature	_____ Print Title	_____ / /2010 Date
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\_\_\_\_\_  
Print Name

**OR**

I hereby assure and certify that all foregoing requirements of a Network Team Equivalent will be met upon the addition of (please check those services that will be added to current capacity):

☐ Curriculum

☐ Instruction

☐ Data

services which will be procured using LEA allocation monies and I further assure that those services will be provided by individuals who will be employed using LEA allocation funds to complete the Network Team Equivalent.

_____ Signature	_____ Print Title	_____ / /2010 Date
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\_\_\_\_\_  
Print/Type Name



New York State Race to the Top Plan

**PARTICIPATING LEA FINAL SCOPE OF WORK – TEACHER AND PRINCIPAL EVALUATION  
SYSTEM IMPLEMENTATION CERTIFICATIONS FOR SUBMISSION ON OR AFTER  
JULY 1, 2011**

## INTRODUCTION

### **School Districts**

Because LEA activities under Section D of the State's RTTT plan (*Great Teachers and Leaders*) are tied to implementation of the new evaluation law, NYSED requires that at least 25% of the four-year LEA allocation must be spent for this purpose. School districts must begin implementation of the law's provisions in order to qualify for the release of that portion of RTTT funding. Accordingly, before any RTTT monies may be spent for purposes of implementing the teacher and principal evaluation system, the school district and any teacher and principal collective bargaining agents must certify to the Department that their contracts comply with the provisions of Education Law §3012-c and Commissioner's regulations. If any teachers and/or principals in a school district are not represented by a collective bargaining agent, the school district must certify that it will evaluate those teachers and principals in accordance with all applicable provisions of Education Law §3012-c and Commissioner's regulations. Once a school district provides such certifications (as applicable), the Section D apportionment will be available to the school district to spend on implementation activities.

### **Public Charter Schools**

Although public charter schools are not legally required to implement Education Law §3012-c, for purposes of participation in the State's RTTT plan and receiving funds to implement Section D activities, charter schools must evaluate all classroom teachers and building principals using a comprehensive annual evaluation system that is consistent with the following elements of Education Law §3012-c: (1) is based on multiple measures of effectiveness, including 40% student achievement measures, which would result in a single composite effectiveness score for every teacher and principal; (2) differentiates effectiveness for teachers and principals using the following four rating categories: Highly Effective, Effective, Developing, and Ineffective; and use such annual evaluations as a significant factor for employment decisions including promotion, retention, supplemental compensation, and professional development; and (3) provides for the development and implementation of improvement plans for teachers or principals rated Developing or Ineffective. If a public charter school's teachers and/or principals are represented by a collective bargaining agent, such charter school must certify that any contracts comply with the relevant provisions of Education Law §3012-c as stated above before the Section D apportionment will be available to spend on implementation activities. If a public charter school's teachers and/or principals are not represented by a collective bargaining agent, such charter school must certify that it has established a teacher and principal evaluation system that is consistent with the three elements of Education Law §3012-c described above.

## INSTRUCTIONS

Please review the six scenarios below, select the scenario(s) that accurately describes your LEA's situation (one or more may be relevant) by checking the box, print out the form, have the appropriate leaders sign and date; then send the form with **original signatures** to:

RTTT Evaluation Law Certification  
RTTT Performance Management Office  
Room 375 EBA  
New York State Education Department  
89 Washington Ave.  
Albany, NY 12234

This completed certification can be filed at any time between 7/01/11 and 06/30/13.

## SCHOOL DISTRICTS WITH COLLECTIVE BARGAINING AGREEMENTS

By signing this document, the school district and its collective bargaining agent(s) hereby certify that all new and/or existing collective bargaining agreements for teachers and principals are consistent with and/or have been amended and/or modified as necessary to require that all classroom teachers and building principals will be evaluated in accordance with the provisions of Education Law §3012-c and Commissioner's regulations.

**DISTRICT NAME:** \_\_\_\_\_

**LEA Superintendent**

**Local Teachers Union Leader**

**Local Principals Union Leader**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

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Print Name

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Date

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Date

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Date

☐ **SCHOOL DISTRICTS WITH SOME OR ALL TEACHERS/PRINCIPALS NOT REPRESENTED**

By signing this document, the school district hereby certifies that, to the extent any classroom teachers and/or building principals are not represented by collective bargaining agent(s), the school district will evaluate those teachers and principals using a comprehensive annual evaluation system that is consistent with all applicable provisions of Education Law §3012-c and Commissioner's regulations.

**DISTRICT NAME:** \_\_\_\_\_

**LEA Superintendent**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

/ /

\_\_\_\_\_  
Date



☐ **TRANSFORMATION MODEL SCHOOLS IN DISTRICTS WITH COLLECTIVE BARGAINING AGREEMENTS**

By signing this document, the school district and its collective bargaining agent(s) hereby certify that all new and/or existing collective bargaining agreements for classroom teachers and building principals assigned to schools in which the district will implement an RTTT Transformation Model are consistent with and/or have been amended and/or modified as necessary to require that all classroom teachers and building principals in such schools will be evaluated in accordance with the provisions of Education Law §3012-c and Commissioner's regulations.

**DISTRICT NAME:** \_\_\_\_\_

**LEA Superintendent**

**Local Teachers Union Leader**

**Local Principals Union Leader**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

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Signature

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Date

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Date

☐ **TRANSFORMATION MODEL SCHOOLS IN DISTRICTS WITH SOME OR ALL TEACHERS/ PRINCIPALS NOT REPRESENTED**

By signing this document, the school district hereby certifies that, to the extent any classroom teachers and/or building principals assigned to schools in which the district will implement an RTTT Transformation Model are not represented by collective bargaining agent(s), the school district will evaluate those teachers and principals using a comprehensive annual evaluation system that is consistent with all applicable elements of Education Law §3012-c and Commissioner's regulations.

**DISTRICT NAME:** \_\_\_\_\_

**LEA Superintendent**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
/ /

\_\_\_\_\_  
Date

☐ **PUBLIC CHARTER SCHOOLS WITH NO COLLECTIVE BARGAINING AGREEMENT**

By signing this document, the participating public charter school hereby certifies that all classroom teachers and building principals will be evaluated using a comprehensive annual evaluation system that is consistent with the following elements of Education Law §3012-c: (1) is based on multiple measures of effectiveness, including 40 % achievement measures, which would result in a single composite effectiveness score for every teacher and principal; (2) differentiates effectiveness for teachers and principals using the following four rating categories: Highly Effective, Effective, Developing, and Ineffective; and uses such annual evaluations as a significant factor for employment decisions including promotion, retention, supplemental compensation, and professional development; and (3) provides for the development and implementation of improvement plans for teachers or principals rated Developing or Ineffective.

**Public Charter School Name:** \_\_\_\_\_

**Public Charter School Governing Board Chair**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

/ /

\_\_\_\_\_  
Date

☐ **PUBLIC CHARTER SCHOOL WITH COLLECTIVE BARGAINING AGREEMENT**

By signing this document, the public charter school and its collective bargaining agent(s) hereby certify that all new and/or existing collective bargaining agreements for teachers and principals are consistent with and/or have been amended and/or modified as necessary to require that all classroom teachers and building principals will be evaluated using a comprehensive annual evaluation system that is consistent with the following elements of Education Law §3012-c: (1) is based on multiple measures of effectiveness, including 40% student achievement measures, which would result in a single composite effectiveness score for every teacher and principal; (2) differentiates effectiveness for teachers and principals using the following four rating categories: Highly Effective, Effective, Developing, and Ineffective; and uses such annual evaluations as a significant factor for employment decisions including promotion, retention, supplemental compensation, and professional development; and (3) provides for the development and implementation of improvement plans for teachers or principals rated Developing or Ineffective.

**Public Charter School Name:** \_\_\_\_\_

**Public Charter School Governing Board Chair**

**Local Union Leader**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

/ /

\_\_\_\_\_  
Date

/ /

\_\_\_\_\_  
Date



## Checklist for Reviewing RTTT LEA Scope of Work Documents

**Minimum Criteria for Passing/Approval of RttT Scope of Work Plan.** Each of the following features and attributes must be present in order for a Scope of Work plan to be considered “approved.”

### Document Formatting

- ☐ The Scope of Work / Student Outcomes form is in MS Word format.
- ☐ The Activity Level Budget is in MS Excel format.

Notes:

- The Scope of Work Plan and Activity Level budgets cannot be in PDF. Other documents such as the Request to Certify Network Team Equivalents, Resumes, or additional information can be in PDF.

### Page 1: District Information and Superintendent Certification

- ☐ The district BEDS code is completed.
- ☐ The name of and contact information, including email, is clearly listed.
- ☐ The box is checked, declaring certification by the superintendent.

Notes:

- The signature line does not need to be filled out since this is submitted via e-portal.

### Pages 2-4: Goals and Student Outcomes

- ☐ The reported LEA baseline % proficient is accurate as compared to NYSED report document.
- ☐ For LEAs with a 2009-2010 baseline below the statewide average; the total four-year performance gains are **greater than** the total 4-year performance gains for the State.
- ☐ For LEAs with a 2009-2010 baseline at or above the statewide average; the total four-year performance gains are **equal to or greater than** the total 4-year performance gains for the State.
- ☐ For Student Outcome Metrics and Priorities for Improvement (bottom of page 4), 3-5 priority outcomes selected are related to data from performance goals.
- ☐ Rationales for each target are reasonable and based upon a review of the data.

Notes:

- If a set of sub-group cells are blank, this is because the district does not have a sub-group large enough to report.
- Please consider the reasonableness of the trajectory of % increases of the LEA.

### Page 5: Network Teams

- ☐ If an LEA chooses to participate in an RTTT supported Network Team through the local BOCES (OPTION 1), the budgeted total for this category is **75% or less** than the LEAs total 4-year allocation.

- ☐ If an LEA chooses to participate in a BOCES Network Team Equivalent (NTE), the budgeted amount is zero (\$0) **or less** than 75% of the total 4-year allocation (for partial NTE participation).
- ☐ If an LEA requests to be approved Network Team Equivalent, the Request to Certify a Network Team Equivalent Document are within the application package and contain the required signatures of the authorized signatories.

Notes:

- If the LEA checks BOCES Managed Network Team Equivalent (Option 2) or the Request to Certify a Network Team Equivalent (Option 3), **email Michelle Vita immediately** to let her know. It is essential that we keep track of districts intending to use a network team.

#### Page 6: Teacher and Principal Evaluation System (Section D)

- ☐ Actions proposed are reasonable and aligned with meeting the provisions of Education Law 3012-c.
- ☐ Dates of activities start 7/1/2011 or after. (do not begin before 7/1/2011)
- ☐ Timeframes for the start and finish of actions are reasonable, feasible, and consistent with the requirements of Education Law 3012-c.
- ☐ Key personnel responsible for each action are identified.
- ☐ Performance metrics are specific and measurable.
- ☐ Performance targets are reasonable and feasible.
- ☐ Budget total for Section D activities is **no less than (at least) 25%** of the 4-year total allocation.

**Example** – Some activities and metrics in this section **might** look like:

ACTIVITY	TIMELINE	KEY PERSONNEL
<i>train evaluators of 4-8 math &amp; ELA teachers</i>	<i>July 2011 August 2011</i>	<i>superintendent</i>
<i>train evaluators of principals of 4-8</i>	<i>July 2011 August 2011</i>	<i>superintendent</i>
<i>train evaluators of all teachers</i>	<i>July 2013 August 2013</i>	<i>superintendent</i>
<i>train evaluators of all principals</i>	<i>July 2013 August 2013</i>	<i>superintendent</i>

PERFORMANCE MEASURE(S): *% of evaluations in compliance with §3012-c 100%*

#### Pages 7-11: Allowable Activities

- ☐ An "Activity Code" is clearly identified in the upper left hand corner of the table for each allowable activity.
- ☐ Description/rationale for the selected activity is reasonable, logically valid, and congruent with the LEA and State student outcomes.
- ☐ Actions proposed for each activity are reasonable and aligned with selected activity and outcomes.
- ☐ Performance metrics are specific and measurable.
- ☐ Performance targets are reasonable and feasible.
- ☐ Timeframes for the start and finish of actions are reasonable, feasible, and consistent with the RttT grant timeframes.
- ☐ Key personnel responsible for each action are identified.

### Activity-level Budget Form

- ☐ Budget total is equal to the designated funding amount provided allocated to the LEA or charter school.
- ☐ All budgeted activities are assigned an "Activity Code" and corresponding "Budget Category."
- ☐ Budget for Year 1 (October 1 2010 to June 30 2011) is **equal to or less than 15%** of the total 4-year allocation.
- ☐ The total budget for each required activity matches the budget total listed in the Scope of Work plan.
- ☐ The total budget for each allowable activity matches the budget total listed for that activity in the Scope of Work plan.
- ☐ The cumulative total of all budget categories for an individual allowable activity matches the budget total listed in the Scope of Work Plan.
- ☐ The cumulative total of all budget categories from activity codes D1-D12 plus all budget categories for the Teacher/Principal Evaluation System are **no less than (at least) 25%** of the total 4-year allocation.

Notes: The statements/information below could serve as a template for what to email back to the district after LEA review.

In order for the LEA Scope of Work to meet minimum approval requirements, the following information needs to be revised / provided:

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.

Once these items are addressed, the LEA should resubmit the entire application packet through the E-portal, in the same manner in which the original Scope of Work was submitted.



## LEA Activity Level Annual Budget Reviewer Checklist

1. All reviewing staff need a NYSED portal account. If you don't have one already, please contact Deborah Cunningham to request an account as an approver. If you're new, you'll get two emails, one with your user name and one with your password.
2. Log on to the portal at [portal.nysed.gov](http://portal.nysed.gov) and enter your username and a temporary password. Change your password as prompted.
3. Click on ARRA Reporting System under My Applications.
4. On the first screen select the fund you are going to approve.
5. On the second screen select the sub-recipient you are reviewing.
  - a. The submitted sub-recipients will be asterisked at the top of the list, approved sub-recipients at the bottom, and un-submitted sub-recipients are in the middle.
  - b. You will select recipients from the submitted, but not approved, list.
6. Navigate through the screens to view identifying information, job estimates, and/or infrastructure amounts if applicable and vendor information.
7. Conduct your program review of the data
  - a. Does the recipient have an approved application on file? If no, do not approve at this time.
  - b. Did the recipient provide a reasonable DUNS number and CCR valid date?
  - c. Has the recipient provided documentation for its job estimates? Note this will be required beginning with the second quarterly report, although sub-recipients **MUST** retain documentation for audit purposes for the first quarter and beyond.
  - d. Are job estimates reasonable?
  - e. Has the recipient addressed jobs created and saved in the narrative?
  - f. Has the recipient provided complete vendor information?
    - i. Name and zip or DUNS
    - ii. Sub-award number assigned by sub-recipient to vendor
    - iii. Amount (estimate of ARRA funds to be used to support the Contract from 7-1-09 to 6-30-10)
  - g. Risk-based reviews: Does the reviewer review all reports with special attention to any high risk recipients and a random sample of others?
  - h. Has the reviewer set in place a dunning process to contact all recipients for the correction of missing or incorrect information?
    - i. This should occur on October 2, 2009.
    - ii. Throughout the review process, you may be asked to contact your sub-recipients to make changes.

- i. If the data are reasonable and complete and an approved application is on file, you can approve by clicking on the Approve button at the bottom of the report.
- j. If you approve by accident and need to unapprove you must email Mary Gardy.
- k. If the recipient wants to change the data, or you require them to change the data, used the Unsubmit button next to the Approve button at the bottom of the report. (This will not wipe out the data, but will just change the status so recipients can enter or revise data.)



## RTTT Annual Program Review (APR) Template For Participating LEAs

During Year 1 of the Race to the Top grant period, the New York State Education Department designed and built an online system end for participating LEAs to report yearly progress towards goals outlined in the Scope of Work.

### **Pre Populated Data (LEA landing page)**

- LEA Name
- Address
- Contact Name
- Telephone Number
- Email Address of Superintendent/School CEO/listed contact
- BEDS Code
- Project Code (e.g.; xxxx-12-xxxx)
- DUNS Number (LEAs complete)
- Central Contractor Registration (CCR) valid until (LEAs complete)
- Collective Bargaining Agreement Received Date
- Total Four Year Allocation
- Amount Expended in 2010-11
- Amount Available for 2011-12

### **Instructions to LEAs**

- All participating LEAs must submit an Annual Program Report for Year 1.
- LEAs that budgeted funds for Allowable Activities during Year 1 will need to complete additional section(s) of the report. If individual Allowable Activities are budgeted for at least \$100,000 over the RTTT grant period, additional information will be required.
- Questions about completing this form can be submitted to [RTTT@mail.nysed.gov](mailto:RTTT@mail.nysed.gov)
- Review for accuracy the District's assigned DUNS code and date until which the CCR is valid.
- Data must be certified and submitted by the Chief Administrator by September 30, 2011.

### **Part 1**

LEA STUDENT OUTCOMES: TARGETS AND RESULTS FOR YEAR 1 (School Year 2010-11)

Measurable, substantial progress toward college and career success and closing gaps in achievement

### **INSTRUCTIONS:**

- Review your LEA's baseline performance and 2010-11 targets for each of the State's RTTT Plan metrics on table 1 that were included in your approved RTTT Scope of Work. (A copy of your LEA's Scope of Work can be found at: <http://usny.nysed.gov/rttt/scopeofwork/>.)
- Compare the school year 2010-11 RTTT performance targets against the actual 2010-11 student performance results for your LEA.
- Indicate on the table below, whether the LEA's actual results "Exceeded", "Met", or "Did not meet" the targets set for RTTT Year 1.



## Data Entry

**TABLE 1: All Students**

<b>STUDENT OUTCOME MEASURES</b>	<b>LEA Assessment of Annual Performance Targets vs Results</b>
% Proficient or Advanced (3 or 4) on NYS 4th Grade ELA Assessment	Choose: "Exceeded", "Met", or "Did not meet"
% Proficient or Advanced (3 or 4) on NYS 4th Grade Math Assessment	Choose: "Exceeded", "Met", or "Did not meet"
% Proficient or Advanced (3 or 4) on NYS 8th Grade ELA Assessment	Choose: "Exceeded", "Met", or "Did not meet"
% Proficient or Advanced (3 or 4) on NYS 8th Grade Math Assessment	Choose: "Exceeded", "Met", or "Did not meet"

## Part 2

LEA STUDENT OUTCOMES: TARGETS AND RESULTS FOR YEAR 1 (School Year 2010-11)

Measurable, substantial progress toward college and career success and closing gaps in achievement

### INSTRUCTIONS:

- Review your LEA's baseline performance and 2010-11 targets for each of the State's RTTT Plan metrics on table 2 that were included in your approved RTTT Scope of Work. (A copy of your LEA's Scope of Work can be found at: <http://usny.nysed.gov/rttt/scopeofwork/>.)
- Compare the school year 2010-11 RTTT performance targets against the actual 2010-11 student performance results for your LEA.
- Indicate on the tables below, whether the LEA's actual results "Exceeded", "Met", or "Did not meet" the targets set for RTTT Year 1.

## Data Entry

**TABLE 2: Gap Closing**

<b>STUDENT OUTCOME MEASURES</b>	<b>LEA Assessment of Annual Performance Targets vs Results</b>
<b>NYS 4th Grade ELA Assessment</b>	
Black or African-American Students	Choose: "Exceeded", "Met", or "Did not meet"
Hispanic or Latino Students	Choose: "Exceeded", "Met", or "Did not meet"
Students with Disabilities	Choose: "Exceeded", "Met", or "Did not meet"
English Language Learners	Choose: "Exceeded", "Met", or "Did not meet"
Economically Disadvantaged Students	Choose: "Exceeded", "Met", or "Did not meet"
<b>NYS 4th Grade Math Assessment</b>	
Black or African-American Students	Choose: "Exceeded", "Met", or "Did not meet"
Hispanic or Latino Students	Choose: "Exceeded", "Met", or "Did not meet"
Students with Disabilities	Choose: "Exceeded", "Met", or "Did not meet"
English Language Learners	Choose: "Exceeded", "Met", or "Did not meet"

Economically Disadvantaged Students	Choose: "Exceeded", "Met", or "Did not meet"
<b>NYS 8th Grade ELA Assessment</b>	
Black or African-American Students	Choose: "Exceeded", "Met", or "Did not meet"
Hispanic or Latino Students	Choose: "Exceeded", "Met", or "Did not meet"
Students with Disabilities	Choose: "Exceeded", "Met", or "Did not meet"
English Language Learners	Choose: "Exceeded", "Met", or "Did not meet"
Economically Disadvantaged Students	Choose: "Exceeded", "Met", or "Did not meet"
<b>NYS 8th Grade Math Assessment</b>	
Black or African-American Students	Choose: "Exceeded", "Met", or "Did not meet"
Hispanic or Latino Students	Choose: "Exceeded", "Met", or "Did not meet"
Students with Disabilities	Choose: "Exceeded", "Met", or "Did not meet"
English Language Learners	Choose: "Exceeded", "Met", or "Did not meet"
Economically Disadvantaged Students	Choose: "Exceeded", "Met", or "Did not meet"

### **Part 3**

#### LEA STUDENT OUTCOMES: TARGETS AND RESULTS FOR YEAR 1 (School Year 2010-11)

Measurable, substantial progress toward college and career success and closing gaps in achievement

#### **INSTRUCTIONS:**

- Review your LEA's baseline performance and 2010-11 targets for each of the State's RTTT Plan metrics on table 3 that were included in your approved RTTT Scope of Work. (A copy of your LEA's Scope of Work can be found at: <http://usny.nysed.gov/rttt/scopeofwork/>.)
- Compare the school year 2010-11 RTTT performance targets against the actual 2010-11 student performance results for your LEA.
- Indicate on the table below, whether the LEA's actual results "Exceeded", "Met", or "Did not meet" the targets set for RTTT Year 1.

### **Data Entry**

**TABLE 3: High School Performance**

<b>STUDENT OUTCOME METRICS</b>	<b>LEA Assessment of Annual Performance Targets vs Results</b>
% Students Scoring At or Above 75 on the English Language Arts Regents Exam	Choose: "Exceeded", "Met", or "Did not meet"
% Students Scoring At or Above 80 on the Math Regents Exam Required for Graduation	Choose: "Exceeded", "Met", or "Did not meet"
Four-year cohort high school graduation rate	Choose: "Exceeded", "Met", or "Did not meet"

### **Part 4**

#### LEA STUDENT OUTCOMES: TARGETS AND RESULTS FOR YEAR 1 (School Year 2010-11)

Measurable, substantial progress toward college and career success and closing gaps in achievement

### INSTRUCTIONS:

- Review your LEA's baseline performance and 2010-11 targets for each of the State's RTTT Plan metrics on table 4 that were included in your approved RTTT Scope of Work. (A copy of your LEA's Scope of Work can be found at: <http://usny.nysed.gov/rttt/scopeofwork/>.)
- Compare the school year 2010-11 RTTT performance targets against the actual 2010-11 student performance results for your LEA.
- Indicate on the table below, whether the LEA's actual results "Exceeded", "Met", or "Did not meet" the targets set for RTTT Year 1.

### Data Entry

**TABLE 4: College Persistence**

STUDENT OUTCOME METRICS	LEA Assessment of Annual Performance Targets vs Results
% High school graduates enrolled in a public New York State institution of higher education within 16 months of graduation	Choose: "Do Not Know", "Exceeded", "Met", or "Did not meet"
% Students returning in the fall who started a first-time, full-time program in New York State the year prior	Choose: "Do Not Know", "Exceeded", "Met", or "Did not meet"

### Part 5

INSTRUCTIONS: In the RTTT Scope of Work, LEAs were asked to select 3-5 metrics for improving student outcomes that they would use to focus local RTTT initiatives. Please copy those metrics from your approved Scope of Work and then rate your progress on each using the scale below.

- Indicate on the tables below, whether the LEA's actual results "Exceeded Expectations", "Met Expectations", or were "Below Expectations" compared to the targets set for RTTT Year 1.

### Data Entry

Student Outcome Metric: Priorities for Improvement	LEA Rating of Year 1 Progress Made to Date
1. District enters metric here	Choose: "Exceeded", "Met", or "Did not meet"
2. District enters metric here	Choose: "Exceeded", "Met", or "Did not meet"
3. District enters metric here	Choose: "Exceeded", "Met", or "Did not meet"
4. District enters metric here	Choose: "Exceeded", "Met", or "Did not meet"
5. District enters metric here	Choose: "Exceeded", "Met", or "Did not meet"

### Part 6

### Data Entry

### REQUIRED ACTIVITIES

Network Teams/ Common Core Standards	Which type of Network Team (NT) is your LEA participating in (check only one response below):
	<input type="checkbox"/> Joined a Network Team through the Local BOCES or BOCES Managed equivalent Team
	- Which BOCES: <b>*Select BOCES from dropdown</b>
	<b>-OR-</b>
	<input type="checkbox"/> Created/joined an approved Network Team Equivalent
	What RTTT-related activities did your LEA participate in during Year 1 (check all that apply):
	<input type="checkbox"/> Hired/assigned Network Team staff
	<input type="checkbox"/> Identified School-based Inquiry Team(s)
	<input type="checkbox"/> Set dates for turnkey training of your staff
	<input type="checkbox"/> Conducted in-service training on Common Core State Standards
	<input type="checkbox"/> Began planning for Common Core State Standards implementation
	<input type="checkbox"/> Other; Please specify: <input type="text"/>

Teacher and Principal Evaluation System	What activities did your LEA undertake to begin preparing to implement the new Teacher and Principal Evaluation System (check all that apply):	
	<input type="checkbox"/> Drafted certification plan for Lead Evaluators <input type="checkbox"/> Updated Annual Professional Performance Plan <input type="checkbox"/> Began Labor/Management negotiations for local implementation <input type="checkbox"/> Other; Please specify: <input type="text"/>	
	When does your LEA's current collective bargaining agreement with the teachers union expire: <input type="text"/> (Please enter MM/DD/YYYY)	<input type="checkbox"/> Not Applicable
	When does your LEA's current collective bargaining agreement with the principals union expire: <input type="text"/> (Please enter MM/DD/YYYY)	<input type="checkbox"/> Not Applicable
	The U.S. Education Department (USED) requires the State to report annually on the number of participating LEAs that have "rigorous, transparent, and fair evaluation systems for teachers and principals that: (a) differentiate effectiveness using multiple rating categories that take into account data on student growth as a significant factor and (b) are designed and developed with teacher and principal involvement."	
	Did your LEA meet any of the following criteria during the 2010-11 school year:	
	Measured student growth	Select "yes", no, or "not applicable"
	Had a teacher evaluation system in place that meets the USED definition (see above)	Select "yes", no, or "not applicable"
	Had a principal evaluation system in place that meets the USED definition (see above)	Select "yes", no, or "not applicable"
	Had evaluation system(s) in place that meet the USED definition and used those system(s) to inform:	
	Teacher and principal development	Select "yes", no, or "not applicable"
	Teacher and principal compensation	Select "yes", no, or "not applicable"
	Retention of effective teachers and principals	Select "yes", no, or "not applicable"
Granting of tenure and/or full certification (where applicable) to teachers and principals	Select "yes", no, or "not applicable"	

Allowable Activity #1	
Activity Code _____	
<a href="#">Activity Code Descriptions</a>	
Brief description of the activity undertaken (response limited to 500 characters):	
<div style="border: 1px solid #ccc; background-color: #f0f0f0; padding: 5px;"> <div style="border-bottom: 1px solid #ccc; height: 20px; width: 100%;"></div> <div style="border-left: 1px solid #ccc; border-right: 1px solid #ccc; border-top: 1px solid #ccc; height: 20px; width: 100%;"></div> </div>	
Indicate the number of participants in this activity by subgroup:	
<input type="checkbox"/> Not Applicable	
<input type="text"/>	Elementary School Students
<input type="text"/>	Middle School Students
<input type="text"/>	High School Students
<input type="text"/>	Teachers
<input type="text"/>	Administrators
<input type="text"/>	Other participants; specify who: <input style="width: 100px;" type="text"/>
Rate your LEA's performance of this activity with regard to:	
Implementation: Choose: <span style="background-color: #d3d3d3;">"Ahead of Schedule"</span> , <span style="background-color: #d3d3d3;">"On Schedule"</span> , <span style="background-color: #d3d3d3;">"Behind Schedule"</span> , <span style="background-color: #d3d3d3;">"Delayed Start Beyond 6/30/11"</span> or <span style="background-color: #d3d3d3;">"Plan changed; LEA will not implement"</span>	
Progress in meeting established performance metrics: Choose: <span style="background-color: #d3d3d3;">"Exceeded"</span> , <span style="background-color: #d3d3d3;">"Met"</span> , or <span style="background-color: #d3d3d3;">"Did not meet"</span>	
Brief rationale for the responses provided above: (answer limited to 750 characters)	
<div style="border: 1px solid #ccc; background-color: #f0f0f0; padding: 5px;"> <div style="border-bottom: 1px solid #ccc; height: 20px; width: 100%;"></div> <div style="border-left: 1px solid #ccc; border-right: 1px solid #ccc; border-top: 1px solid #ccc; height: 20px; width: 100%;"></div> </div>	
Is the four-year funding budgeted for this activity at least \$100,000: Choose: <span style="background-color: #d3d3d3;">"Yes"</span> or <span style="background-color: #d3d3d3;">"No"</span>	

**No:** Your report for Allowable Activity #1 is complete. Please proceed to the next section to report on Allowable Activity #2. If your LEA did not plan for additional Allowable Activities in your approved Scope of Work during Year 1, then your RTTT program report is complete. Please save your report and submit it to the State Education Department.

**Yes:** Please answer the following questions for Activity #1

List any vendors/consultants hired for this activity: Rate the vendors/consultant's performance to date

☐ Not applicable

Choose: "Highly Effective", "Effective" or "Ineffective"

Choose: "Highly Effective", "Effective" or "Ineffective"

Choose: "Highly Effective", "Effective" or "Ineffective"

Choose: "Highly Effective", "Effective" or "Ineffective"

Please review your responses above for Allowable Activity #1 and provide a brief explanation of actions your LEA will take to correct situation(s) where:

LEA Implementation was rated - "Behind Schedule" or "Delayed start beyond 6/30/11": (answer limited to 750 characters)

LEA Progress in meeting established performance metrics was rated - "Below Expectations": (answer limited to 750 characters)

Vendor/consultant performance was rated - "Ineffective": (answer limited to 750 characters)

Your report for Allowable Activity #1 is complete. Please proceed to the next section if your LEA planned for any additional Allowable Activities in your approved Scope of Work during Year 1. If not, then your RTTT program report is complete. Please save and submit it to the State Education Department.

**\*Once all activities are entered, LEAs click complete and each Part comes together into a single form for review before Submit and Certify.**



## RTTT Final Expenditure Report Template For Participating LEAs

During Year 1 of the Race to the Top grant period, the New York State Education Department designed and built an online system end for participating LEAs to report fiscal year expenditures.

### **Pre Populated Data (LEA landing page)**

- LEA Name
- Address
- Contact Name
- Telephone Number
- Email Address of Superintendent/School CEO/listed contact
- BEDS Code
- Project Code (e.g.; xxxx-11-xxxx)
- DUNS Number (LEAs complete)
- Central Contractor Registration (CCR) valid until (LEAs complete)
- Collective Bargaining Agreement Received Date
- Total Four Year Allocation
- Amount Expended in 20xx-xx
- Amount Available for 20xx-xx

### **Instructions**

- The online Final Expenditure Report for RTTT replaces the traditional FS-10-F closeout process for this grant.
- Districts that budgeted funds for use but did not incur any expenses should submit a Final Expenditure Report for \$0.
- Districts that did not budget funds for use do not need to submit a Final Expenditure Report.
- Questions about completing this form can be submitted to [RTTT@mail.nysed.gov](mailto:RTTT@mail.nysed.gov).
- Review for accuracy the District's assigned DUNS code and date until which the CCR is valid.
- Data must be certified and submitted by the Chief Administrator.

### **Part 1**

This Final Expenditure Report is for fiscal year xxxx-xx of RTTT. It reflects only the grant award for this year, as shown on the previous page.

### **Final Expenditure Report Narrative**


Please provide a brief narrative explaining how your LEA used RTTT funds. Provide a narrative for each activity type in the Final Expenditure Report. Please note that all activities should be consistent with the activity level budgets that you submitted previously with the LEA scope of work.





If you have questions regarding this process, please submit them to the [RTTT@mail.nysed.gov](mailto:RTTT@mail.nysed.gov) email box or call 518-474-5520.

### Narrative

### Usage Tips

Click the  to add a budget item.

Click the  to edit a budget item.

Click the  to delete a budget item.

### Budget Summary

2011-12 School Year Budget			LEA Submitted Final Expenditures		Difference
Activity Code	Budget Category	Budget			

## Part 2

### Submit and Certify

Superintendents or CEOs must complete the Chief Administrator's Certification section by checking the box to indicate that you have read the Terms and Conditions associated with expending RTTT funds and clicking the Certify and Submit button.

### Chief Administrator's Certification

By signing this certification you are ensuring required accountability and compliance with all applicable federal and State laws, regulations, and grants management requirements including ARRA Public Law 111-5 and Public Law 111-226, including reporting requirements outlined in Section 1512 of the Act.

Additionally, you certify that you will comply with required cash management procedures, certifications, assurances, recordkeeping and reporting requirements for funds received through ARRA.

*I hereby certify that the Race To The Top (RTTT) Funds allocated to the School District will be expended as indicated in the budget summary above and that these expenditures will be in compliance with applicable Federal and State laws and regulations.*



(Please place a check in the box) I further submit I have read and understand any [Terms and Conditions](#) associated with the receipt and expenditure of Federal Race to the Top funds.



## LEA Annual Final Expenditure Report Reviewer Checklist

1. All reviewing staff need a NYSED portal account. If you don't have one already, please contact Deborah Cunningham to request an account as an approver. If you're new, you'll get two emails, one with your user name and one with your password.
2. Log on to the portal at [portal.nysed.gov](http://portal.nysed.gov) and enter your username and a temporary password. Change your password as prompted.
3. Click on ARRA Reporting System under My Applications.
4. On the first screen select the fund you are going to approve.
5. On the second screen select the sub-recipient you are reviewing.
  - a. The submitted sub-recipients will be asterisked at the top of the list, approved sub-recipients at the bottom, and un-submitted sub-recipients are in the middle.
  - b. You will select recipients from the submitted, but not approved, list.
6. Navigate through the screens to view identifying information, job estimates, and/or infrastructure amounts if applicable and vendor information.
7. Conduct your program review of the data
  - a. Does the recipient have an approved application on file? If no, do not approve at this time.
  - b. Did the recipient provide a reasonable DUNS number and CCR valid date?
  - c. Has the recipient provided documentation for its job estimates? Note this will be required beginning with the second quarterly report, although sub-recipients MUST retain documentation for audit purposes for the first quarter and beyond.
  - d. Are job estimates reasonable?
  - e. Has the recipient addressed jobs created and saved in the narrative?
  - f. Has the recipient provided complete vendor information?
    - i. Name and zip or DUNS
    - ii. Sub-award number assigned by sub-recipient to vendor
    - iii. Amount (estimate of ARRA funds to be used to support the Contract from 7-1-09 to 6-30-10)
  - g. Risk-based reviews: Does the reviewer review all reports with special attention to any high risk recipients and a random sample of others?
  - h. Has the reviewer set in place a dunning process to contact all recipients for the correction of missing or incorrect information?
    - i. This should occur on October 2, 2009.
    - ii. Throughout the review process, you may be asked to contact your sub-recipients to make changes.

- i. If the data are reasonable and complete and an approved application is on file, you can approve by clicking on the Approve button at the bottom of the report.
- j. If you approve by accident and need to unapprove you must email Mary Gardy.
- k. If the recipient wants to change the data, or you require them to change the data, used the Unsubmit button next to the Approve button at the bottom of the report. (This will not wipe out the data, but will just change the status so recipients can enter or revise data.)



## RTTT 1512 Quarterly Report Template For Participating LEAs

During Year 1 of the Race to the Top grant period, the New York State Education Department designed and built an online system end for participating LEAs to report 1512 vendor expenses, jobs created and jobs saved.

### **Pre Populated Data (LEA landing page)**

- LEA Name
- Address
- Contact Name
- Telephone Number
- Email Address of Superintendent/School CEO/listed contact
- BEDS Code
- Project Code (e.g.; xxxx-11-xxxx)
- DUNS Number (LEAs complete)
- Central Contractor Registration (CCR) valid until (LEAs complete)
- Approved Project Amount for Reporting  
(Current Quarter, Open Amounts)

### **Open Projects**

#### **Project Code/Sub Award Id Amount For Reporting**

xxxx-12-xxxx                      \$

### **Completed Projects**

#### **Project Code/Sub Award Id              Final Amount**

xxxx-11-xxxx                      \$

### **Instructions**

- **Note: Due to recent federal changes, jobs reported as created or retained must now be directly paid for with ARRA funds and are no longer cumulative from the beginning of the award period. Count only the ARRA-funded FTEs in the current reporting quarter.**
- Vendor payments are cumulative from the time of award through the 15th of the last month of the current reporting quarter.
- Review Guidance Document located at <http://usny.nysed.gov/arra/>.
- Review for accuracy the District's assigned DUNS code and date until which the CCR is valid.
- Data must be certified and submitted by the Chief Administrator.

## **Part 1**

### **Program Narrative**

Note: Due to recent federal changes, jobs reported as created or retained must now be directly paid for with ARRA funds and are no longer cumulative from the beginning of the award period. Count only the ARRA-funded FTEs in the current reporting quarter.

In the box below, please describe program(s) that will be supported by ARRA funds. Specifically address the number and type of jobs saved and/or created because of the availability of ARRA funds. If applicable, address changes in employment from the previous reporting period. Identify any jobs included from vendor(s).

Other than funds used to stabilize employment, specifically explain how at least one of the following four reform areas is addressed: Achieving Equity in Teacher Distribution; Improving the Collection and Use of Data; Standards and Assessments; and Supporting Struggling Schools.

If narrative is more than the allowed 4,000 characters, (approximately ½ page of text,) please send additional documentation to [emscmgts@mail.nysed.gov](mailto:emscmgts@mail.nysed.gov).

### **Narrative**

### **Reporting Summary**

	Prior Quarter (Read Only)	Current Quarter
Number of Jobs Saved:	<input type="text"/>	<input type="text"/>
Number of Jobs Created:	<input type="text"/>	<input type="text"/>

## **Part 2**

### **Quarterly Report Race to the Top Period Ending: Date**

**Vendor payments are cumulative from the time of award through the 15th of the last month of the current reporting quarter. Sub-recipients will continue to draw down funds from their respective payment offices and NYSED will report expenditures from the beginning of the award period through the end of the current reporting period.**

Report the whole dollar amounts for all ARRA funds awarded through contracts to vendors, including BOCES. Please note that any direct jobs created at vendors must be collected by the sub-recipient and reported in the Program Narrative and Summary (previous page). You must enter either the Organization Name and Zip Code +4, or just the DUNS Code. The Sub Award No. is what your organization, as the sub-recipient of the grant, has assigned for internal tracking.

#### Usage Tips

- Click the > icon to show the vendors for a given project.
- Click the ^ icon to hide the vendors for a given project.

## **Vendor Data**

Project Amount for Reporting: \$  
Project Code: xxxx-12-xxxx Open

Project Award Amount: \$

Organization Name	Zip + Ext	DUNS Code	Sub Award No	Approved ARRA Vendor Payments to Date

## **Part 3**

*I am submitting this report as the Superintendent of Schools of this school district or Chief Executive Officer or authorized individual of another institution. I certify and attest that to the best of my knowledge, information and belief, all of the statements and data contained in this report are a true and complete representation of this institution's activities and expenditures under the American Recovery and Reinvestment Act of 2009 and have been reviewed and approved by me.*

Once you click Certify and Submit button below, NYSED will be informed of your submission. Data submitted will be accessible to NYSED management for review and final submission to the U.S. Office of Management and Budget. To cancel out of submission, please click 'Return to Institution Information' button.



## RTTT Quarterly Report Reviewer Guidelines

1. Log on to the portal at <http://portal.nysed.gov> and enter your username and password. If you forgot your password use the "Reset My Password" link on the red bar at the top of the page. Use the NYSED institution ID of 800000055504 when prompted.
2. Click on **American Recovery and Reinvestment Act (ARRA) Reporting System** under *My Applications*.
3. On the first screen scroll to the bottom of the page and select the quarter (period ending Xxx 15, 201#) and the fund (Race to the Top) that you are going to approve (under *Quarterly Reporting* tab).
4. On the second screen select the sub-recipient you are reviewing.
  - a. The submitted sub-recipients will be at the top of the list, approved sub-recipients at the bottom, and un-submitted sub-recipients are in the middle.
  - b. You will select recipients from the submitted, but not approved, list.
5. Navigate through the screens to view identifying information, job estimates, and/or infrastructure amounts if applicable and vendor information.
6. Conduct your program review of the data
  - a. Did the recipient provide a DUNS number and a CCR date in the future?
  - b. In the *Program Narrative*, has the recipient addressed jobs created and saved in the narrative?
  - c. In the *Reporting Summary*, has the recipient entered *Number of Jobs Saved* and/or *Number of Jobs Created* if applicable? Are the job estimates<sup>1</sup> reasonable?
  - d. Under *Vendor Data*, has the recipient provided correct and complete vendor information?
    - Name and zip or DUNS
    - Sub-award number assigned by sub-recipient to vendor
    - Amount (estimate of ARRA funds to be used to support the Contract during the applicable quarter)
    - Under *Open Projects*, check to make sure information is complete and the dollar amount matches their 201#–201# annual online budget<sup>2</sup>. If amount is lower, left over will rollover, amount can't be higher.
    - Under *Completed Projects*, make sure the information matches the completed project box on top of form/webpage.
    - **IMPORTANT:** If individuals are listed as vendors, confirm with the LEA that these are actual vendors are not staff employees (school staff personnel are not considered vendors).
  - e. Has the reviewer set in place a dunning process to contact all recipients for the correction of missing or incorrect information?
    - i. This must be completed by **Xxxx 30, 201#**.



- ii. Throughout the review process, you may be asked to contact your sub-recipients to make changes.
- f. If the data are reasonable and complete and an approved application is on file, you can approve by clicking on the Approve button at the bottom of the report.
- g. If you approve by accident and need to un-approve you must email Mary Gardy.
- h. If the recipient wants to change the data, or you require them to change the data, used the Un-submit button next to the Approve button at the bottom of the report. (This will not wipe out the data, but will just change the status so recipients can enter or revise data.)

#### <sup>1</sup>Information on Calculating Job Estimates/FTEs

- In order to calculate FTEs for RTTT grants that are used entirely by a single LEA, the LEA should follow the process for all ARRA reporting as detailed at [http://usny.nysed.gov/arra/general\\_arra\\_info/documents/ARRAJobsWorksheet2010\\_11quarter.html](http://usny.nysed.gov/arra/general_arra_info/documents/ARRAJobsWorksheet2010_11quarter.html).
- If a district has allocated RTTT funds to a BOCES then that district may still need to report FTEs and vendor expenditures if the funds were used for jobs. Please refer to [http://usny.nysed.gov/arra/rttt/documents/fte\\_calculation\\_for\\_rtt\\_funds\\_arra\\_1512\\_reporting.html](http://usny.nysed.gov/arra/rttt/documents/fte_calculation_for_rtt_funds_arra_1512_reporting.html) for guidance on this.

#### <sup>2</sup>Viewing Annual Online RTTT Budgets

1. Log on to the portal at <http://portal.nysed.gov> and enter your username and password.
2. Click on **American Recovery and Reinvestment Act (ARRA) Reporting System** under *My Applications*.
3. On the first screen scroll to the bottom of the page and select the *Applications, Budgets, Amendments, and Finals* and then select *Race to the Top (RTTT) Online Budget 201# –1#*
4. On the second screen select the sub-recipient that you would like to view.



## Risk Assessment of Entities Receiving Race to the Top Funds 2011-14

### Introduction

The New York State Education Department's (NYSED) Office of Audit Services (OAS), has developed a method of assessing the risk associated with subrecipients administering the ARRA Race to the Top Funds. The purpose of the methodology is to quantify the risk based on certain factors related to subrecipient's fiscal condition, timeliness of reporting, results of external audits including OAS audits of ARRA funds, and results of A-133 single audits of federal funds. The quantification of risks is captured on an Excel spreadsheet and can be adapted to modify the weight of certain risk factors depending on the desires of individual program offices.

### Methodology

OAS captures a great deal of information on subrecipients. The information is gathered as part of OAS's role in analyzing the fiscal condition of school districts, summarizing relevant audit information for the Regents Committee on Audits/Budget and Finance, and in administering single audit responsibilities for the Department.

OAS captured 31 data elements which contains information on some aspect of the subrecipient's fiscal performance. We then discussed the relative significance of the data elements as they relate to the risk of subrecipients poorly administering the ARRA RTTT funds. This was done through discussions among OAS staff. Based on its significance, a weight was assigned to 11 of the key factors. As an example if a subrecipient was awarded in excess of \$500,000 in RTTT funds it was assigned a weight of 5. If the subrecipient had ARRA single audit findings it was assigned a weight of 1 for each finding. The data elements and the corresponding weight/score that was assigned are listed below.

Fiscal Characteristic	Risk by Weighting
	Points
Total ARRA Race to the Top Funding	1    \$100,000 < and < \$250,000 2    > = \$250,000 and < \$500,000 5    > \$500,000
Unreserved, Undesignated Fund Balance (09-10)/Unassigned Fund Balance (10-11)	3    Negative unreserved, undesignated fund balance in 09-10 and negative unassigned fund balance in 10-11 2    Negative unassigned fund balance in latest year
Total ARRA RTTT Funding as % of 10-11 Budget	2    > 1%
Fund Balance Subject to Real Property Tax Limit as % of Following Year's Adopted Budget 10-11	1    > 6%

Fiscal Characteristic	Risk by Weighting
Opinion on Financial Statements is Qualified	1 Other than Unqualified for last 2 years
Report on Internal Controls	3 Material Weakness for last 2 years 2 Significant Deficiency in prior year and Material Weakness in current year 1 Material Weakness in prior year and Significant Deficiency in current year 1 Significant Deficiency for last 2 years
Financial Statements Received After 30 Day Grace Period	1 Financial statements received after 30 day grace period for last 2 years
A-133 Received Late	1 A-133 received late for last 2 years
A-133 Corrective Action Plans and Corrective Action Plans for other audits received late	1 More than 3 A-133 Corrective Action Plans and Corrective Action Plans for other audits received late
# of Findings for All Audit Reports by OSC, OAS, Federal Government, and Other State Governments	1 More than 3 total instances of Procurement, Claims Processing, Payroll, Cash, Financial Reporting, Segregation of Duties, and Conflict of Interest findings
Single Audit ARRA Findings	1 Finding in either of the last two years for ARRA
Reporting Not Timely, 1512 Reports Inaccurate, Separate Account Codes, and Cash and Interest Income	1 For each category
RTTT Activity Type from Online Budget	1 E1 or E2 2 E1 and E2

The weighting that is assigned to each risk factor is somewhat subjective and could be modified based on further discussions with RTTT program managers. A spreadsheet has been developed that can be manipulated to easily reflect different weightings, as warranted.

### Results

The risk assessment process identified 27 school districts with 6 points or more. Of these districts, 19 have been awarded more than \$250,000 in RTTT funds. OAS staff recommends that the LEA subrecipients with a greater number of risk factors should be considered at a higher risk for experiencing difficulties in complying, on a timely basis, with RTTT requirements. Key Department managers will review this information and modify the weighting as warranted and use it to develop monitoring and auditing plans.

## List of Title I Districts Subject to Intermediate Level Monitoring in SY 2011–12

Month	School District	Region	2010-11 RTTT \$ Spent	Approved 2011-12 Budget
January 2012	Arlington CSD	Hudson Valley	\$0	\$59,841
	East Ramapo CSD (Spring Valley)	Hudson Valley	\$24,705	\$1,090,489
	Herkimer CSD	Central NY	\$0	\$17,848
	Mt. Vernon City SD	Hudson Valley	\$0	N/A
	Newburgh City SD	Hudson Valley	\$54,575	N/A
	Rondout ValleyCSD	Hudson Valley	\$0	\$51,352
	Somers CSD	Hudson Valley	\$0	\$3,233
	South Orangetown CSD	Hudson Valley	\$0	\$6,620
February 2012	Baldwin UFSD	Long Island	\$15,642	\$49,927
	Elmont UFSD	Long Island	\$0	\$131,081
	Farmingdale UFSD	Long Island	\$0	\$21,076
	Freeport UFSD	Long Island	\$44,743	\$116,844
	Lindenhurst UFSD	Long Island	\$0	N/A
	Malverne UFSD	Long Island	\$6,424	\$14,349
	North Babylon	Long Island	\$0	\$31,116
	Roosevelt UFSD	Long Island	\$0	N/A
March 2012	Connetquot CSD	Long Island	\$0	\$6,106
	Hampton Bays UFSD	Long Island	\$0	\$28,800
	Patchogue-Medford UFSD	Long Island	Not in System	Not in System
	Rocky Point UFSD	Long Island	\$0	N/A
	South Country CSD	Long Island	\$0	N/A
	South Huntington UFSD	Long Island	\$0	\$74,263
	Schenectady City SD	Capital District	\$89,243	SIG
	William Floyd UFSD	Long Island	\$0	\$135,982
April 2012	Central Square CSD	Central NY	\$0	N/A
	Corning City SD	Central NY	\$0	\$80,585
	Hamilton CSD	Central NY	\$0	\$23,221
	Hannibal CSD	Central NY	\$0	\$33,240
	Newfield CSD	Central NY	\$0	\$22,955
	Oswego City SD	Central	\$0	N/A
	Southside Academy Charter School	Central NY	\$0	\$74,216
	West Genesee CSD	Central NY	\$0	\$36,783
May 2012	AD Johnson Community Charter School	Western NY	\$3,259	N/A
	Attica CSD	Western NY	\$8,259	\$17,000
	Barker CSD	Western NY	\$0	\$17,273
	Bath CSD	Southern Tier	\$0	N/A no FER
	Canisteo-Greenwood CSD	Southern Tier	\$0	\$26,323
	Cheektowaga CSD	Western NY	\$6,206	\$62,180
	Grand Island CSD	Western NY	\$2,383	\$23,877
	Harpursville CSD	Southern Tier	\$0	\$25,255
	Jasper-Troupsburg CSD	Southern Tier	\$0	\$54,453
	True North Rochester Prep Charter	Western NY	Say \$6,025	N/A no FER
June 2012	Adirondack CSD	North Country	\$0	\$33,000
	Beaver River CSD	North Country	\$0	\$17,595
	Cohoes City SD	Capital District	\$14,246	\$55,463
	Heuvelton CSD	North Country	\$0	\$15,577
	Rotterdam-Mohonasen	Capital District	\$5,703	\$24,432

# Race to the Top Site Monitoring School Year 2011-2012

<b>District/School LEA:</b>			<b>Date:</b>	
<b>District/LEA BEDS Code:</b>				
<b>District/LEA Official:</b>		<b>Title:</b>		
<b>LEA Contact:</b>		<b>E-mail:</b>		

**Directions:** Please record rating responses to each item in the appropriate area below. Also please take the opportunity to provide a rationale or comment for each item. District personnel completing this form can find additional guidance, including expected deliverables, dates and examples of evidence by visiting Engage NY at <http://engageny.org/resource/metrics-and-evidence-for-network-teams/>.

**Once completed, submit this form along with your pre-review documents for targeted Title I monitoring.**

## A. RTTT Network Teams

**Introduction:** To better understand and respond to Race to the Top activities throughout the state, the Department is gathering information on Network Team activities undertaken at several LEA's in the 2011-12 school year to implement:

- the Common Core Standards in English Language Arts/Literacy and Mathematics
- Data-driven Instruction and School-based Inquiry
- The new Teacher/Principal Evaluation System (§3012-c)

<b>What form of Network Team has your LEA chosen to participate in?</b>  <i>Check only one.</i>	<input type="checkbox"/>	Network Team (NT) through BOCES	BOCES:
		OR	
	<input type="checkbox"/>	Network Team Equivalent (NTE)	<input type="checkbox"/> Single LEA
			<input type="checkbox"/> Consortium of LEAs

## Race to the Top Site Monitoring School Year 2011-2012

Please rate the progress of training and support the Network Team has provided your LEA with implementing the following:	<u>Response Scale:</u>	
	1 – Not Begun 2 – Little Progress	3 – Some Progress 4 – Significant Progress 5 – Not Applicable
	Rating	Rationale/Comment
<b>NT Deliverable #1: Training to Implement the Common Core Learning Standards for LEA/Literacy and Mathematics</b>		
1. Creating awareness and fluency in support of Common Core implementation		
2. Creating a Common Core action plan to create common Core aligned units		
3. Introducing Common Core aligned curriculum modules/units		
4. Build capacity and foster accountability so that at least one Common Core aligned unit is delivered each semester		
5. Observe and give feedback on previously developed Common Core units		
6. Support of principals' supervision and management of Common Core units		
7. Provide opportunities for teachers and principals to look at student work from Common Core units compared to exemplary student work in posted modules and The Common Core Appendix		

## Race to the Top Site Monitoring School Year 2011-2012

Please rate the progress of training and support the Network Team has provided your LEA with implementing the following:	<b>Response Scale:</b>	
	1 – Not Begun 2 – Little Progress	3 – Some Progress 4 – Significant Progress 5 – Not Applicable
	Rating	Rationale/Comment
8. Plan ongoing professional development based on challenges identified in observations and supports		
9. Monitor progress on action plans and determine mid-course corrections and tailored professional development in each school		
<b>NT Deliverable #2: Training to Implement the School-Based Inquiry and Data Driven Instruction Teams</b>		
10. Assess the quality of each school's implementation of data driven instruction		
11. Development of a plan for implementation of data driven instruction tailored to the specific needs of each school		
12. Support of ongoing development of data driven culture in teacher and school leadership teams		
13. Linking instruction and follow-up analysis and action planning for Inquiry and Data Driven Instruction teams		
14. Aligning instructional practices, assessments, and analysis to the rigor of the Common Core		
15. Support and/or lead analysis meetings with teacher teams that increase student learning		

## Race to the Top Site Monitoring School Year 2011-2012

Please rate the progress of training and support the Network Team has provided your LEA with implementing the following:	<b>Response Scale:</b>	
	<div style="display: flex; justify-content: space-between;"> <span>1 – Not Begun</span> <span>3 – Some Progress</span> <span>5 – Not Applicable</span> </div> <div style="display: flex; justify-content: space-between;"> <span>2 – Little Progress</span> <span>4 – Significant Progress</span> </div>	
	Rating	Rationale/Comment
16. Build and/or identify high- quality assessment tools for classroom use		
17. Monitoring of action plans/determination of any mid-course corrections in each school		
<b>NT Deliverable #3: Training to Implement New Performance Evaluations for Teachers</b>		
18. Providing training for teachers and teacher evaluators on evidence-based observation		
19. Provide training and calibration on an approved rubric for classroom observations		



## Race to the Top Site Monitoring School Year 2011-2012

### B. LEA Activities

**Introduction:** In addition to learning about the progress of the LEA's Network Team, the Department is also gathering information on any additional activities the LEA is doing in the 2011-12 school year to implement:

- the Common Core Standards in English Language Arts/Literacy and Mathematics
- Data-driven Instruction and School-based Inquiry
- The new Teacher/Principal Evaluation System (§3012-c)

1. What actions has the LEA undertaken this year related to alignment with the Common Core State Standards in English Language Arts & Literacy?

2. What actions has the LEA undertaken this year related to alignment with the Common Core State Standards in Mathematics?

**Race to the Top Site Monitoring  
School Year 2011-2012**

3. Does the LEA have active School-based Inquiry Teams? ☐ Yes ☐ No ☐ Planning to have teams for next school year  
If Yes, describe how they are being used and what kinds of activities are they performing?

4. How well does your LEA's APPR plan reflect the requirements for the new performance evaluation for teachers and principals of ELA and Mathematics Grades 4-8?

***Please provide a hard copy or an internet address of your APPR plan.***

**Race to the Top Site Monitoring  
School Year 2011-2012**

5. What actions has the LEA taken to prepare for the evaluation of all teachers and principals in 2012-13?

**Thank you for participating in this survey of Race to the Top Network Team and District/Charter LEA progress.**

# 2012 RttT NTI Principal Survey

## Introduction

Dear School Principal,

The New York State Department of Education Office of P-12 Education is responsible for overseeing the delivery of Race to the Top professional development by the Network Teams (NT) and Network Team Equivalents (NTE). Through a series of monthly institutes, Network Team members from each of the 37 BOCES and Network Team equivalents from the Big 5, Charter schools, and LEAs (not participating through BOCES NT) are tasked with turn-keying NYSED training on the RttT Assurance Areas of Common Core State Standards, Data Driven Instruction and Principal/Teacher Leader Evaluation.

In order to assess the effectiveness of the training and the impact it has had in the field, NYSED is collecting data, through a survey process, that will help to determine the following:

1. The quality and fidelity of the initiatives in the field
2. The breadth and scope of the training in the field in each of the 3 assurance areas – Data Driven Instruction, Common Core Standards and Teacher/Principal Evaluation
3. The level of effectiveness of the turn key training to the field

Data collected in these surveys will provide insight into the experiences, opinions, knowledge, skill, and satisfaction levels of the educators for whom the Network Teams serve. Additionally, the data from the surveys will be used to inform the Department on the impact that the monthly institutes have in the field and help to inform future trainings.

All data will be kept confidential. Data will be reported in the aggregate. No data will be reported individually.

This pulse check is an important tool to help us be accountable for effectively helping you. We greatly appreciate your input in our survey process.

Sincerely,  
Margaret Brady,  
RttT Network Team Project Coordinator

# 2012 RttT NTI Principal Survey

## Common Core Standards: Familiarity with the Shifts-- Math

### 1. Please indicate how familiar you are with each of the Common Core Mathematical shifts.

	Novice (minimal or "textbook" knowledge without connecting it to practice)	Beginner (working knowledge of the shift--almost ready to try it)	Proficient (I am instructing using the shift/can explain it to a colleague )	Expert (I could lead professional development on this topic within my school)
Focus: focus deeply on the the concepts prioritized in the standards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Coherence: connecting the learning within and across grades	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fluency: speed and accuracy with simple calculations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Deep Understanding: ability to apply core math concepts to new situations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Applications: apply appropriate math concepts in "real world" situations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dual Intensity: practicing and understanding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment?

### 2. Did you receive training in the Common Core Mathematical shifts?

- ☐ YES
- ☐ NO

# 2012 RttT NTI Principal Survey

## Information about Math training

### 3. Who provided it?

- ☐ NYSED NTI Training
- ☐ District Network Team (not BOCES)
- ☐ BOCES Network Team
- ☐ Other

Other (please specify)

### 4. Location of training

- ☐ In district
- ☐ Out of district

Other (please specify)

### 5. How many hours of training would you estimate you received on Common Core Mathematical shifts?

	less than 1 hour	1	2	3	4	5	6	7	8	more than 8 hours
Hours of training in Common Core Math	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

# 2012 RttT NTI Principal Survey

## Topics of Training

### 6. As a result of Common Core Math training, I am able to engage in productive discussions on:

	Strongly Disagree	Disagree	Somewhat Disagree	Somewhat Agree	Agree	Agree Strongly
The magnitude of the current STEM crisis in the USA.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The importance of improving math education.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The balance of computational fluency, conceptual understanding, and problem solving in K-12 mathematics.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The way math education works in some high performing countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The way to improve math performance through inducing change in beliefs and learning/teaching culture locally.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

# 2012 RttT NTI Principal Survey

## Quality of Training: Math

### 7. Please indicate the quality of training you received from your Network Team on each of the following Math Shifts.

	Excellent: I was able to implement what I learned.	Average: The training focused on application.	Below average: The training focused on awareness of the shifts	I did not receive training from the Network Team on this topic.
Focus: focus deeply on the the concepts prioritized in the standards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Coherence: connecting the learning within and across grades	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fluency: speed and accuracy with simple calculations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Deep Understanding: ability to apply core math concepts to new situations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Applications: apply appropriate math concepts in "real world" situations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dual Intensity: practicing and understanding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

### 8. Overall, I feel the training I received on the Common Core Math shifts was a good use of my time.

☐ Strongly Disagree
 ☐ Disagree
 ☐ Somewhat disagree
 ☐ Somewhat agree
 ☐ Agree
 ☐ Strongly Agree

Comments?



# 2012 RttT NTI Principal Survey

## Agree or Disagree?

### 9. To what extent do you agree or disagree with the following statements.

	Strongly Agree	Agree	Agree Somewhat	Disagree Somewhat	Disagree	Strongly Disagree
I feel confident in my understanding of the Common Core Mathematical shifts.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel confident that I could accurately describe the elements of the Common Core Mathematical shifts to a parent.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel able to support teachers as they design appropriate lessons for their classes using the Common Core Mathematical shifts.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment?

# 2012 RttT NTI Principal Survey

## Common Core Shifts: ELA

### 10. Please indicate with which of the Common Core ELA shifts you are familiar.

	Novice (minimal or "textbook" knowledge without connecting it to practice)	Beginner (working knowledge of the shift--almost ready to try it)	Proficient (I am instructing using the shift/can explain it to a colleague )	Expert (I could lead professional development on this topic within my school)
PK-5: balancing informational and literary texts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6-12: building knowledge in the disciplines across all content areas using literacy experiences	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staircase of complexity: each grade level provides a "step" of growth on the "stairway" to college and career ready	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Text based answers: conversations based on a common text	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Writing from Sources: use of evidence to inform or make an argument	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Academic vocabulary: constantly building the vocabulary needed to access grade level complex texts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 11. Did you receive training in the Common Core ELA shifts?

- ☐ YES
- ☐ NO

# 2012 RttT NTI Principal Survey

## Information about ELA training

### 12. Who provided it?

- ☐ NYSED NTI Training
- ☐ District Network Team (not BOCES)
- ☐ BOCES Network Team
- ☐ Other

Other (please specify)

### 13. Location of training

- ☐ In district
- ☐ Out of district

Other (please specify)

### 14. How many hours of training would you estimate you received on Common Core ELA shifts?

	less than 1 hour	1	2	3	4	5	6	7	8	more than 8 hours
Hours of training on ELA Shifts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

# 2012 RttT NTI Principal Survey

## Topics in ELA Training

### 15. As a result of Common Core ELA training, I am able to describe:

	Strongly Disagree	Disagree	Somewhat Disagree	Somewhat Agree	Agree	Agree Strongly
Absorption rate (what it is and why it matters)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Embedding non-fiction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
How writing for reading is different than writing in other classes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evidence based questions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

### 16. Based on my Common Core ELA training, I am able to:

	Strongly Disagree	Disagree	Somewhat Disagree	Somewhat Agree	Agree	Agree Strongly
Evaluate and draft evidence based questions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strategically incorporate more non-fiction into literacy instruction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

# 2012 RttT NTI Principal Survey

## Quality of Training: ELA

**17. Please indicate the quality of training you received from your Network Team on each of the following ELA Shifts.**

	Excellent: I was able to implement what I learned.	Average: The training focused on application.	Below average: The training focused on awareness of the shifts.	I did not receive training from the Network team on this topic.
PK-5: balancing informational and literary texts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6-12: building knowledge in the disciplines across all content areas using literacy experiences	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staircase of complexity: each grade level provides a "step" of growth on the "stairway" to college and career ready	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Text based answers: conversations based on a common text	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Writing from Sources: use of evidence to inform or make an argument	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Academic vocabulary: constantly building the vocabulary needed to access grade level complex texts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

**18. Overall, I feel the training I received on the Common Core ELA shifts was a good use of my time.**

☐ Strongly Disagree
 ☐ Disagree
 ☐ Somewhat disagree
 ☐ Somewhat agree
 ☐ Agree
 ☐ Strongly Agree

Comments?

# 2012 RttT NTI Principal Survey

## Agree or Disagree?

### 19. To what extent do you agree or disagree with the following statements.

	Strongly Agree	Agree	Agree Somewhat	Disagree Somewhat	Disagree	Strongly Disagree
I feel confident in my understanding of the Common Core ELA shifts.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel confident that I could accurately describe the elements of the Common Core ELA shifts to a parent.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel able to support teachers to design appropriate lessons for their classes using the Common Core ELA shifts.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment?

## Common Core Aligned Units

**20. Have you participated in Professional Development which taught the qualities of Common Core aligned curriculum units?**

☐ YES

☐ NO

Other (please specify)

# 2012 RttT NTI Principal Survey

## Information about Common Core Curriculum Unit training

### 21. Who provided it?

- ☐ NYSED NTI Training
- ☐ District Network Team (not BOCES)
- ☐ BOCES Network Team
- ☐ Other

Comments?

### 22. Location of training

- ☐ In district
- ☐ Out of district

Other (please specify)

### 23. How many hours of training would you estimate you received on Common Core Curriculum Unit development?

	less than 1 hour	1	2	3	4	5	6	7	8	more than 8 hours
Common Core Curriculum Unit	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)



Quality of Training: Common Core Curriculum Unit Development

24. Please indicate the quality of training you received from your Network Team on Common Core Curriculum Unit development.

Excellent: I was able to implement what I learned.      Average: The training focused on application.      Below average: The training focused on awareness.      I did not receive training from the Network Team on this topic.

Common Core Curriculum Unit development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
---	-----------------------	-----------------------	-----------------------	-----------------------

Comments?

25. Overall, I feel the training I received on the Common Core Curriculum Unit development was a good use of my time.

☐ Strongly Disagree      ☐ Disagree      ☐ Somewhat disagree      ☐ Somewhat agree      ☐ Agree      ☐ Strongly Agree

Comments?

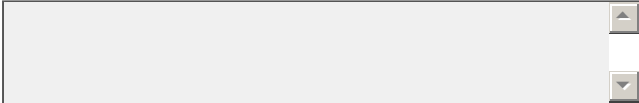
## Information about Feedback

**26. I have provided evidence-based feedback on Common Core aligned curriculum units for teachers in my building.**

☐ YES

☐ NO

If YES, please describe. If NO, please explain.



# 2012 RttT NTI Principal Survey

## Agree or Disagree?

### 27. To what extent do you agree or disagree with the following statements.

	Strongly Agree	Agree	Agree Somewhat	Disagree Somewhat	Disagree	Strongly Disagree
I feel confident in my understanding of the qualities of a model Common Core aligned curriculum unit.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel confident that I could accurately describe the elements of a Common Core aligned curriculum unit to a teacher and/or parent.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel able to give evidence based feedback on a Common Core aligned curriculum unit to my staff.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment?

## Data Driven Instruction

**28. Did you participate in training relating to School-based Inquiry/Data Driven Instruction?**

☐ YES

☐ NO

# 2012 RttT NTI Principal Survey

## Information about School-based Inquiry/Data Driven Instruction training

### 29. Who provided it?

- ☐ NYSED NTI Training
- ☐ District Network Team (not BOCES)
- ☐ BOCES Network Team
- ☐ Other

Comments?

### 30. Location of training

- ☐ In district
- ☐ Out of district

Other (please specify)

### 31. How many hours of training would you estimate you received on School-based Inquiry/Data Driven Instruction?

	less than 1 hour	1	2	3	4	5	6	7	8	more than 8 hours
Hours of training in School-based Inquiry/Data Driven Instruction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

# 2012 RttT NTI Principal Survey

## Quality of Training: Data Driven Instruction

### 32. Please indicate the quality of training you received from your Network Team Data Driven Instruction.

	Excellent: I was able to implement what I learned.	Average: The training focused on application.	Below average: The training focused on awareness.	I did not receive training from the Network Team on this topic.
Establishing School Based Inquiry Teams	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Analysis Meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Team Planning Action	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Turning Analysis into Practice	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Enhancing Rigor	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Data Driven Instruction Rubric	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

### 33. Overall, I feel the training I received on Data Driven Instruction was a good use of my time.

☐ Strongly Disagree    ☐ Disagree    ☐ Somewhat disagree    ☐ Somewhat agree    ☐ Agree    ☐ Strongly Agree

Comments?

## Information about Data Inquiry Teams

### 34. Have you established a School-based Inquiry Team in your building?

- ☐ YES
- ☐ NO

## Information about Data Inquiry Teams (continued)

### 35. Are you on your school School-based Inquiry Team?

☐ YES

☐ NO

### 36. Is your school School-based Inquiry Team analyzing school level data?

☐ YES

☐ NO

Comments?

### 37. Is the data from your School-based Inquiry Team used to help teachers plan for instruction?

☐ YES

☐ NO

If YES, please describe:



# 2012 RttT NTI Principal Survey

## Agree or Disagree? Data Driven Instruction

### 38. To what extent do you agree or disagree with the following statements:

	Strongly Agree	Agree	Agree Somewhat	Disagree Somewhat	Disagree	Strongly Disagree
I feel confident in my ability to establish a successful School-based Inquiry Team.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel confident leading my building's Team Planning Action.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel confident helping my staff turn analysis into practice.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel confident in my ability to support teachers enhancing rigor.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I feel confident applying the Driven Instruction Rubric to my situation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

## Teacher Observation

### 39. Have you participated in training on Teacher Observation?

- ☐ YES
- ☐ NO

# 2012 RttT NTI Principal Survey

## Training on Teacher Observation

### 40. Who provided it?

- ☐ NYSED NTI Training
- ☐ District Network Team (not BOCES)
- ☐ BOCES Network Team
- ☐ Other

Other (please specify)

### 41. Location of training

- ☐ In district
- ☐ Out of district

Other (please specify)

### 42. How many hours of training would you estimate you received on Teacher Observation?

	less than 1 hour	1	2	3	4	5	6	7	8	more than 8 hours
Hours of training on Teacher Observation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

# 2012 RttT NTI Principal Survey

## Topics in Teacher Observation training

### 43. As a result of the training you received on teacher observation, please indicate how proficient you feel about

	Beginner: I am new at this and need more time and practice.	Developing: I need more experience to become proficient.	Proficient: I am proficient at such observations.	Expert: I am proficient in such observations and could teach others.
NYS Teaching Standards, and their related elements and performance indicators	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evidence-based observation techniques grounded in research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Application and use of the student growth percentile model and the value-added growth model	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Application and use of the student growth percentile model and the value-added growth model	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Application and use of any assessment tools that the school district or BOCES utilizes to evaluate its classroom teachers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Application and use of any State-approved locally-selected measures of student achievement used by the school district to evaluate its teachers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Use of the Statewide Instructional Reporting System	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Scoring methodology utilized by the Department and/or the district or BOCES to evaluate a teacher	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Specific considerations in evaluating teachers of English language learners and students with disabilities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

## Quality of Training: Teacher Observation

### 44. Please indicate the quality of training you received from your Network Team on Teacher Observation.

Excellent: I was able to  
implement what I learned.

Average: The training  
focused on application.

Below average: The training  
focused on awareness.

I did not receive training  
from the Network Team on  
this topic.

Teacher Observation



Comments?

### 45. Overall, the training I received on Teacher Observation was a good use of my time.

☐ Strongly

☐ Disagree

☐ Disagree

☐ Agree

☐ Agree

☐ Strongly Agree

Disagree

Somewhat

Somewhat

Comment?

### Student Learning Objectives: SLOs

#### 46. Have you participated in training on SLOs?

- ☐ YES
- ☐ NO

## Training on SLO

### 47. Who provided it?

- ☐ NYSED NTI Training
- ☐ District Network Team (not BOCES)
- ☐ BOCES Network Team
- ☐ Other

Other (please specify)

### 48. Location of training

- ☐ In district
- ☐ Out of district

Other (please specify)

### 49. How many hours of training would you estimate you received on Student Learning Objectives (SLO)?

	less than 1 hour	1	2	3	4	5	6	7	8	more than 8 hours
Hours of training on SLOs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

## Topics of Training: SLOs

**50. As a result of the training you received on SLOs, please indicate how proficient you feel about**

	Beginner: I am new at this and need more time and practice.	Developing: I need more experience to become proficient.	Proficient: I am proficient at such observations.	Expert: I am proficient in such observations and could teach others.
the connections between teacher evaluation and SLOs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
thinking critically about SLO components.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
developing SLOs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
applying a quality rating system to promote rigor and comparability of SLOs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
helping my teachers develop SLOs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?



Quality of Training: SLOs

51. Please indicate the quality of training you received from your Network Team on SLOs.

	Excellent: I was able to implement what I learned.	Average: The training focused on application.	Below average: The training focused on awareness.	I did not receive training from the Network Team on this topic.
Teacher Observation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments?

52. Overall, the training I received on SLOs was a good use of my time.

<input type="radio"/> Strongly Disagree	<input type="radio"/> Disagree	<input type="radio"/> Disagree Somewhat	<input type="radio"/> Agree Somewhat	<input type="radio"/> Agree	<input type="radio"/> Stronly Agree
--	--------------------------------	--	---	-----------------------------	-------------------------------------

Comment?

## Network Teams

**53. Are you aware that there is a Network Team responsible for providing training to your school district about implementing the new Common Core Learning standards?**

☐ YES

☐ NO

Comments?

### Who is your Network Team or Network Team Equivalent?

**54. Which BOCES Network Team or Network Team Equivalent works with your district?**

# 2012 RttT NTI Principal Survey

## Demographic Questions for Analysis Purposes Only

### 55. My district is

☐ Urban

☐ Rural

☐ Suburban

### 56. Name of District

## What do you know about the Regents Reform Agenda?

### 57. Please indicate where you are on the knowledge scale for the following topics.

	Novice (minimal or "textbook" knowledge without connecting it to practice)	Beginner (working knowledge of key aspects of practice)	Proficient (deep understanding of discipline and area of practice)	Expert (authoritative knowledge of discipline and deep understanding across areas of practice)
The Common Core Standards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The instructional shifts associated with the Common Core ELA	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The instructional shifts associated with the Common Core Math	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
What it takes to implement a unit aligned with the Common Core	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Participating in/conducting a data analysis meeting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluating effective instructional practice against a common rubric (self or peer)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Using collaborative data analysis to inform immediate changes in classroom practice	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment?

### Experience with EngageNY.org website

**58. Have you used the EngageNY.org website as a source for more information about implementing the Common Core?**

- ☐ YES
- ☐ NO

### Feedback on EngageNY.org

**59. Can you give us feedback about your experience using EngageNY.org?**

### Last Comments?

**60. Please let us know about your experience with the new Common Core Learning Standards. What type of information, professional development or support do you need to feel successful implementing this new initiative?**



# 2012 RttT Network Team Survey

## Introduction

Dear Network Teams and Network Team Equivalents,

The New York State Department of Education Office of P-12 Education is responsible for overseeing the delivery of Race to the Top professional development by the Network Teams (NT) and Network Team Equivalents (NTE). As you know, Network Team members from each of the 37 BOCES and Network Team equivalents from the Big 5, Charter schools, and LEAs (not participating through BOCES NT) have been tasked with turn-keying NYSED training on the RttT Assurance Areas of Common Core State Standards, Data Driven Instruction and Principal/Teacher Leader Evaluation.

In order to assess the effectiveness of the training and the impact it has had in the field, NYSED is collecting data, through a survey process, that will help to determine the following:

1. The quality and fidelity of the initiatives in the field
2. The breadth and scope of the training in the field in each of the 3 assurance areas – Data Driven Instruction, Common Core Standards and Teacher/Principal Evaluation
3. The level of effectiveness of the turn key training to the field

Data collected in these surveys will provide insight into the experiences, opinions, knowledge, skill, and satisfaction levels of the educators in the districts that Network Teams serve. Additionally, the data from the surveys will be used to inform the Department on the impact that the institutes have in the field and help to inform future trainings.

This pulse check is also an important tool to help us be accountable for effectively helping you. We greatly appreciate your input in our survey process.

All data will be kept confidential. Data will be reported in the aggregate. No data will be reported individually.

Network Teams or Network Team Equivalents should work together to complete just one survey for their team. This survey is not designed for individual team members to complete.

Sincerely,  
Margaret Brady,  
RttT Network Team Project Coordinator

# 2012 RttT Network Team Survey

## Training Topics

This survey is intended to be completed by Network Teams, not individual Network Team members. Please be sure that your Network Team submits just one collaborative survey.

### 1. Please indicate if you provided training to your component districts (NTs) or school district (NTEs) on the following topics:

	YES	NO
Common Core Learning Standards--ELA shifts	<input type="radio"/>	<input type="radio"/>
Common Core Learning Standards--Math shifts	<input type="radio"/>	<input type="radio"/>
Common Core Aligned Curriculum Model Units	<input type="radio"/>	<input type="radio"/>
School Based Inquiry/Data Driven Instruction	<input type="radio"/>	<input type="radio"/>
Identifying appropriate evidence (reliable, objective, unbiased) about Principal performance/evaluation	<input type="radio"/>	<input type="radio"/>
Student Learning Objectives	<input type="radio"/>	<input type="radio"/>
Teacher Observation (including collecting, and recording objective evidence, providing clear and concise feedback)	<input type="radio"/>	<input type="radio"/>

# 2012 RttT Network Team Survey

## What kind of training was provided?

**2. For each training topic where training was provided, please indicate whether the training provided was TURN-KEY training (training to train others to deliver the content to school district personnel), PRIMARY (training delivered directly to teachers and/or leaders within a district) or a COMBINATION of both.**

	Turn-key	Primary	Combination of Both
Common Core Learning Standards--ELA shifts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Common Core Learning Standards--Math shifts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Common Core Aligned Curriculum Model Units	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
School Based Inquiry/Data Driven Instruction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Identifying appropriate evidence (reliable, objective, unbiased) about Principal performance/evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Student Learning Objectives	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Teacher Observation (including collecting, and recording objective evidence, providing clear and concise feedback)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

# 2012 RttT Network Team Survey

## Where was the training provided?

**3. For each of the trainings that your Network Team/Network Team Equivalent provided, please indicate whether the training was offered On-site at the District, On-site at BOCES, or another venue.**

	On-Site at BOCES	On-site at the District	Other venue
Common Core Learning Standards--ELA shifts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Common Core Learning Standards--Math shifts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Common Core Aligned Curriculum Model Units	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
School Based Inquiry/Data Driven Instruction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Identifying appropriate evidence (reliable, objective, unbiased) about Principal performance/evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Student Learning Objectives	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Teacher Observation (including collecting, and recording objective evidence, providing clear and concise feedback)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

If training is offered at other venue, please explain.

# 2012 RttT Network Team Survey

## How much training time has been provided?

**4. For each of the trainings that your Network Team/Network Team Equivalent provided, please indicate how many HOURS of training were provided (a sum for total number of hours for each topic, across multiple presentations), using a positive whole number (round up or down depending).**

Common Core Learning Standards--ELA shifts	<input type="text"/>
Common Core Learning Standards--Math shifts	<input type="text"/>
Common Core Aligned Curriculum Model Units	<input type="text"/>
School Based Inquiry/Data Driven Instruction	<input type="text"/>
Identifying appropriate evidence (teaching standards, evidence based observation, application and use of: student growth model, assessment tools, teacher/principal practice rubrics, state-approved locally-selected measures of student achievement, use of statewide reporting system, scoring methodology, and consideration of evaluating teachers of ELL and SWD.) about Principal/Teacher performance/evaluation	<input type="text"/>
Student Learning Objectives	<input type="text"/>
Teacher Observation (including collecting, and recording objective evidence, providing clear and concise feedback)	<input type="text"/>

## 2012 RttT Network Team Survey

**5. Which of the following statements best describes how you have organized your Network Team(s) to ensure that implementation of the three content areas (Common Core State Standards, Data Driven Instruction, Teacher/Leader Evaluation) is on track in each school?**

- ☐ Our team works together in most/all schools to address the three content areas. Each member of our team has one of the 3 areas as a specialty.
- ☐ Our team works together in most/all schools to address the three content areas. Our specialty areas overlap.
- ☐ Each individual from the team works with a separate school to ensure the implementation of the three content areas.

Additional Statements:



## Teacher Centers

### 6. Are you working with a Teacher Center to deliver training?

☐ YES

☐ NO

## Work with Teacher Center

### 7. Please describe the extent of the working relationship with the Teacher Center.

- ☐ Close Collaboration: Co-facilitation of planning and delivery for all training
- ☐ Occassional Collaboration: Co-facilitation of planning and delivery for some training
- ☐ Communication not Collaboration: Teacher Center and Network Team/NTEquivalent share information about their separate training activities
- ☐ No communication or collaboration

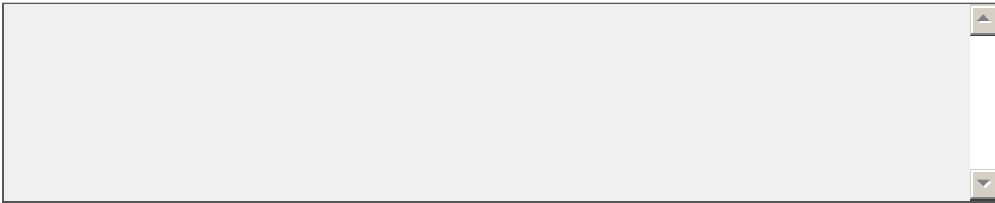


## Barriers

### 8. What obstacles put your efforts at the greatest risk? (Select all that apply)

- ☐ Getting the right people in the room for professional development.
- ☐ Time constraints and limitations for the schools we serve.
- ☐ Time constraints and limitations for our team.
- ☐ A lack of alignment between our goals and those of the districts.
- ☐ Push-back from school or district professionals.
- ☐ My/our understanding of the three content areas is not yet comprehensive enough to provide rigorous professional development.
- ☐ We have no obstacles.

Additional Obstacles:



# 2012 RttT Network Team Survey

## Documentation of Progress

Identify your progress towards the following deliverables. Include justification for your response.

### 9. Are you on track with the Deliverables?

	On track	Not on track, too many obstacles
Deliverable 1: Training to Implement the Common Core Learning Standards for ELA/Literacy and Mathematics.	<input type="radio"/>	<input type="radio"/>
Deliverable 2: Training to Implement the School-Based Inquiry and Data Driven Instruction Teams	<input type="radio"/>	<input type="radio"/>
Deliverable 3: Training to Implement New Performance Evaluations for Teachers	<input type="radio"/>	<input type="radio"/>

If not on track, please explain:

## NT or NTE

### 10. Please indicate if you are responding as a Network Team or Network Team Equivalent

- ☐ Network Team
- ☐ Network Team Equivalent

# 2012 RttT Network Team Survey

## Network Teams

### 11. Name of BOCES

### 12. How many component districts are there in your BOCES? Of those, how many have contracted with your BOCES to provide RTTT training? Please respond using a positive number.

Total number of component schools

Total number of schools that are receiving RTTT funds that have contracted for RTTT training through the BOCES

### 13. In which of the following types of districts are the schools you work with located? Check all that apply.

- ☐ Rural
- ☐ Urban
- ☐ Suburban
- ☐ One of the Big 5

Other (please specify)

### 14. Are you responsible to provide training and/or support to your BOCES programs (e.g. CTE, Alternative Education and/or SPED) for Race to the Top activities (Common Core, Data Driven Instruction, and APPR)?

- ☐ YES
- ☐ NO

Comment?

### 15. How many of the schools you serve are currently using common periodic or interim assessments within particular grade levels?

Number of schools using common periodic or interim assessments.

# 2012 RttT Network Team Survey

## Network Team Equivalent Data

This survey is intended to be completed by Network Teams, not individual Network Team members. Please be sure that your Network Team submits just one collaborative survey.

### 16. Name of District

### 17. What type of district are you?

- ☐ Rural
- ☐ Suburban
- ☐ Urban
- ☐ Big 5

Other (please specify)

### 18. Does your district currently provide periodic or "interim" assessments?

- ☐ Yes
- ☐ No

Other:

# 2012 RttT Network Team Survey

## Which Rubrics are being used?

### 19. Please indicate the number of component districts who have selected the Teacher Evaluation rubrics indicated.

CLASS	<input type="text"/>
Danielson's Framework for Teaching	<input type="text"/>
Danielson's Framework for Teaching (2011 Revised Edition)	<input type="text"/>
Marshall's Teacher Evaluation Rubric	<input type="text"/>
Marzano's Causal Teacher Evaluation Model	<input type="text"/>
Marzano's Teacher Practice Rubric	<input type="text"/>
NYSTCE Framework for the Observation of Effective Teaching	<input type="text"/>
NYSUT Teacher Practice Rubric	<input type="text"/>
Thoughtful Classroom Teacher Effectiveness Framework	<input type="text"/>
Have not yet selected a rubric	<input type="text"/>

### 20. Please indicate the number of component districts who are using the Principal Evaluation Rubrics indicated.

Vanderbilt Assessment of Leadership in Education (VAL-ED)	<input type="text"/>
Reeves Performance Matrix	<input type="text"/>
Multi-dimensional Principal Performance Rubric	<input type="text"/>
Marshall's Principal Evaluation Rubric	<input type="text"/>
Marzano's School Administrator Rubric	<input type="text"/>
McRel Principal Evaluation System	<input type="text"/>
Have not yet selected a rubric	<input type="text"/>

# 2012 RttT Network Team Survey

## Resources

### 21. What resources does your Network Team/Equivalent use internally to help with the work?

- ☐ Website
- ☐ Wiki
- ☐ Engageny.org
- ☐ National Common Core website
- ☐ Other

Other (please specify)

### 22. What resources are you using with your district(s) to help them with their work?

- ☐ Website
- ☐ Wiki
- ☐ Engageny.org
- ☐ National Common Core website
- ☐ Other

Other (please specify)

### 23. If you are regularly collaborating with other districts or BOCES on Race to the Top work, please list with whom you are collaborating.

# 2012 RttT Network Team Survey

## Books and other Resources

This survey is intended to be completed by Network Teams, not individual Network Team members. Please be sure that your Network Team submits just one collaborative survey.

### 24. Please indicate if you have read any of the following. Check all that apply.

- ☐ The School Principal as Leader: Guiding Schools to Better Teaching and Learning. Wallace Foundation
- ☐ Gathering Feedback for Teaching: Combining High-Quality Evaluations with Student Surveys and Achievement Gains, MET Policy Brief, Gates Foundation
- ☐ In Search of Excellence, Tom Peters
- ☐ The Organization Man, William Whyte
- ☐ Good to Great, Jim Collins
- ☐ The Speed of Trust, Stephen MR Covey
- ☐ Driven by Data, Paul Bambrick-Santoyo
- ☐ Switch, Chip Heath and Dan Heath
- ☐ Teach Like a Champion, Doug Lemov
- ☐ Leadership Without Easy Answers, Ronald Heifetz

### 25. What other books would you suggest to other Network Teams in their training efforts?

### 26. Please share the names of consultant/speakers you have used and found to be worth recommending to others.

### 27. If you used speakers and consultants, please indicate why you selected them and any benefits that resulted from their services.

### 28. What support do you need from SED to further your efforts?



Network Teams

# **Deliverables, Metrics, and Evidence for School Year 11-12**

## NT Deliverable #1: Training to Implement the Common Core Learning Standards for ELA/Literacy and Mathematics

### August to October

Inputs	Audience	Evidence
<ul style="list-style-type: none"> <li>By September 15, 2011, create awareness, foster fluency, and develop a common language supporting Common Core implementation.</li> <li>By October 1, 2011, collaboratively diagnose school capacity for implementing The Common Core and create action plan to ensure Phase I execution: 1 Common Core Aligned Unit in every classroom, each semester.</li> <li>By October 1, 2011, Introduce Common Core aligned curriculum model modules/units and unpack the qualities of a model unit.</li> <li>By October 31, 2011, build capacity and foster accountability so that every teacher delivers at least one Common Core aligned unit each semester.</li> </ul>	NT and DS/Superintendent /Charter Lead Examples of Evidence	<ul style="list-style-type: none"> <li>Communication artifacts (such as, emails, faculty meeting materials school board meeting materials, initiative announcements, instructional non-negotiables, etc) reveal district and BOCES administrator capacity building and accountability on implementation of The Common Core</li> <li>Survey results from teachers and school administrators confirm initial training from NTs and reflect an increased, accurate awareness of the changes required to implement the Common Core</li> <li>Documentation of school readiness assessments and resulting action plan</li> <li>Reports from District Superintendents, superintendents and Charter Leads demonstrate that learning goals are being met and districts find the support/PD accessible, meaningful, and relevant</li> <li>Observation/ Feedback notes for principals and district administrators reveal school visits and classroom observations supporting implementation of The Common Core</li> <li>Local scope and sequence for professional development and materials used</li> </ul>
	Principal Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Communication artifacts (such as, emails, meeting materials, initiative announcements, instructional non-negotiables, etc) indicate principal capacity building and accountability on implementation of The Common Core</li> <li>Documentation (e.g. student work, scope and sequence, lesson plans, curriculum maps, observation notes, surveys from teachers etc., ) shows that a Common Core (lesson, unit, module?) was delivered with quality and teacher demonstrated appropriate reflection on content , method and delivery based on grade level and subject areas.</li> </ul>
	Teacher Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Teachers are able to describe the elements of a Common Core aligned unit or module.</li> <li>Instructional evidence/artifacts of a sampling of schools demonstrate integration of the Common Core into the school culture (teacher observations, lesson plans, student work samples, etc.)</li> </ul>
	Student Outcomes	<ul style="list-style-type: none"> <li>Instructional evidence/artifacts of a sampling of schools demonstrates that students are producing proficient work that is aligned with the expectations of the Common Core (i.e. similar in quality to the work in Appendix A of the Common Core)</li> </ul>

## NT Deliverable #1: Training to Implement the Common Core Learning Standards for ELA/Literacy and Mathematics October to May

Inputs	Audience	Evidence
<ul style="list-style-type: none"> <li>By November 15, 2011, observe and give evidence-based feedback on the Common Core units developed in the fall; continue throughout the spring semester</li> <li>By November 15, 2011, support principals' supervision and management of Common Core units; continue throughout the spring semester</li> <li>By December 20, 2011, provide opportunities for teachers and principals to look at student work from Common Core units compared to exemplary student work in posted modules and The Common Core Appendix; continue throughout the spring semester</li> <li>Plan ongoing professional development based on challenges identified in observations and supports</li> <li>By January 15, 2011, monitor progress on action plans and determine mid-course corrections and tailored professional development in each school; continue throughout the spring semester</li> </ul>	NT and DS/Superintendent /Charter Lead	<ul style="list-style-type: none"> <li>Communication artifacts (such as emails, meeting materials, initiative announcements, non-negotiables, etc), professional development plans and/or opportunities reveal ongoing district, charter and BOCES administrator capacity building and accountability on implementation of The Common Core</li> <li>Survey results from teachers and school administrators verify that they received ongoing training from NTs and have had an opportunity to reflect on initial attempts at Common Core units/ modules, make changes, and are trying again in second semester</li> <li>Action plans with recorded adaptations based on ongoing school visits and a midcourse diagnostic</li> <li>Reports from District Superintendents, Superintendents, and Charter leads demonstrate that learning goals are being met and districts find the support/PD accessible, meaningful, and relevant</li> <li>Observation/ Feedback notes for principals and district administrators show school visits and classroom observations support implementation of The Common Core</li> <li>Baseline and Periodic Surveys of Teachers and Principals evidence a dramatic increase in their knowledge and ability regarding Common Core implementation</li> <li>Local scope and sequence for professional development and materials used</li> </ul>
	Principal Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Communications artifacts (such as, emails, meeting materials, initiative announcements, non-negotiables, etc) point to ongoing principal capacity building and accountability on implementation of The Common Core</li> <li>Lesson Plan samples from teachers across the content areas (Math, ELA, and Literacy in Social Studies, Science, Arts, etc) reveal efforts to implement at least one Common Core aligned unit</li> <li>Documentation confirms principal support and observation regarding The Common Core and an increase in principal capacity to define and support implementation of The Common Core</li> </ul>
	Teacher Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Teacher conversations, meetings (as evidenced through surveys, agendas, meeting notes), and action plans reflect efforts to resolve challenges and discuss strategies to implement a Common Core aligned unit</li> <li>Instructional evidence/artifacts confirms integration of the Common Core into the school culture (teacher observations, lesson plans, student work samples, etc.) and an increased capacity across the school</li> </ul>
	Student Outcomes	<ul style="list-style-type: none"> <li>Students are able to articulate the difference in Common Core aligned instruction/ content</li> <li>Instructional evidence/artifacts demonstrates that students are producing proficient work that is aligned with the expectations of the Common Core (i.e. similar in quality to the work in Appendix A of the Common Core)</li> </ul>

**NT Deliverable #2: Training to Implement the School-Based Inquiry and Data Driven Instruction Teams**  
**August to October**

<b>Inputs</b>	<b>Audience</b>	<b>Evidence</b>
<ul style="list-style-type: none"> <li>As of September 9, assess the quality of each school's implementation of data driven instruction against the key drivers</li> <li>As of September 23, develop an implementation plan for data driven instruction, tailored to the specific needs of schools and/or districts</li> <li>Support the ongoing development of data driven cultures in teams of teachers and school leadership teams</li> </ul>	NT and DS/Superintendent /Charter Lead	<ul style="list-style-type: none"> <li>Communication artifacts (such as emails, meeting materials, initiative announcements, non-negotiables, etc) reveal district and BOCES administrator capacity building and accountability for School Based Inquiry (SBI)/ Data Driven Instruction (DDI) implementation</li> <li>Survey results from teachers and school administrators show that they received initial training from NTs and reflect an increased and accurate awareness of the key drivers of Inquiry/ Data Driven Instruction</li> <li>Documentation of school readiness diagnostic and resulting action plan</li> <li>Reports from District Superintendents and Superintendents demonstrate that learning goals are being met and districts find the support/PD accessible, meaningful, and relevant</li> <li>Observation/ Feedback notes for principals and district administrators confirm school visits and data meetings support Inquiry/ DDI implementation</li> <li>Documentation (e.g. local scope and sequence and materials for professional development and instructional evidence/artifacts) reveal DDI/SBI teams access, understand, and use data to facilitate changes in instructional practice</li> <li>School Leadership/Inquiry Team members received training to lead analysis meetings, support teachers as they implement action plans and know their responsibilities</li> </ul>
	Principal Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Documentation of identification of DDI/SBI teams, assessment of school readiness and, resulting action plans</li> <li>School calendar reflects assessment administration, time for scoring, time for data meetings</li> <li>Curricular scope and sequence reflects built-in re-teaching time</li> <li>Documentation that teacher teams are able to meet and plan regularly (teacher/staff schedules, meeting agendas and notes, etc.)</li> </ul>
	Teacher Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Agendas/ Meeting notes and observation notes documenting "test-in-hand" aspect of data meetings</li> <li>Evidence of new lessons/units that respond to data analysis (such as changes based on analysis of student misunderstandings of wrong answers)</li> <li>Survey results from Principals reflect increase teacher effectiveness in the use of data to inform instructional decisions</li> </ul>
	Student Outcomes	<ul style="list-style-type: none"> <li>Measurable improvement in student achievement data that is aligned with district's goals</li> </ul>

**NT Deliverable #2: Training to Implement the School-Based Inquiry and Data Driven Instruction Teams**  
**October to May**

Inputs	Audience	Evidence
<ul style="list-style-type: none"> <li>As of October 15, link instruction and follow-up analysis and action planning</li> <li>Ongoing - align instructional practices, assessments, and analysis to the rigor of the Common Core standards</li> <li>Ongoing - Support and/or lead analysis meetings with teacher teams that increase student learning</li> <li>Ongoing - Build and/or identify high- quality assessment tools for classroom use</li> <li>By January 15, Monitor action plan progress and determine mid-course corrections in each school</li> </ul>	NT and DS/Superintendent /Charter Lead	<ul style="list-style-type: none"> <li>Communication artifacts (such as, emails, meeting materials, initiative announcements, non-negotiables, etc) reveal ongoing district and BOCES administrator capacity building and accountability for Inquiry/ DDI implementation</li> <li>Survey results from teachers and school administrators confirm that they received ongoing training from NTs and have had an opportunity to reflect on initial attempts at “test-in-hand” data meetings and action planning</li> <li>Teacher action plans that reflect an increased proficiency in writing and executing Teacher Action Plans</li> <li>Reports from District Superintendents demonstrate learning goals are being met and support/PD is accessible, meaningful, and relevant</li> <li>Observation/ Feedback notes for principals and district administrators show school visits and data meeting observations support Inquiry/Data Driven Instruction implementation</li> <li>Local scope and sequence and materials for professional development that satisfies the regulations</li> <li>Aligned assessment are selected and used in classrooms</li> <li>Baseline and Periodic Surveys of Teachers and Principals evidence a dramatic increase in their knowledge and ability regarding Common Core implementation</li> <li>Baseline and Periodic Surveys of Teachers and Principals evidence a dramatic increase in their knowledge and ability regarding implementation of Inquiry/ Data Driven Instruction</li> </ul>
	Principal Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Data meeting observation notes indicate a shift in teacher conversation, due to principal inputs, from <i>what</i> students got wrong to <i>why</i> students got the wrong answers</li> <li>Teacher action plans are available for every teacher and reveal alignment to data analysis, curriculum and instruction</li> </ul>
	Teacher Practice Examples of Evidence	<ul style="list-style-type: none"> <li>Observation notes and teacher surveys suggest that teachers are “borrowing” from each other to build on effective instructional strategies to effectively address common misconceptions of behavioral management, pedagogy, instructional practice and use of data to inform instruction</li> <li>Teacher lesson plans reflect data analysis</li> </ul>
	Student Outcomes	<ul style="list-style-type: none"> <li>Measurable improvement in student achievement data aligned with district’s goals</li> </ul>

**NT Deliverable #3: Training to Implement New Performance Evaluations for Teachers**  
**August to October**

<b>Inputs</b>	<b>Audience</b>	<b>Evidence</b>
<ul style="list-style-type: none"> <li>• Ongoing - Provide training for teachers and teacher evaluators on evidence-based observation</li> <li>• Ongoing - Provide training and calibration an approved rubric for classroom observations</li> </ul>	NT and DS/Superintendent /Charter Lead	<ul style="list-style-type: none"> <li>• Communication artifacts (such as, emails, meeting materials, initiative announcements, non-negotiables, etc) reveal district and BOCES administrator capacity building and accountability for evidence based observation and, where appropriate, inter-rater reliability of evaluation</li> <li>• Survey results from teachers and school administrators confirm that they received initial training from NTs and reflect an increased and accurate awareness of a rich evidence based evaluation process</li> <li>• Reports from District Superintendents demonstrate that learning goals are being met and districts find the support/PD accessible, meaningful, and relevant</li> <li>• Observation/Feedback notes for principals and district administrators show school visits and classroom observations using reliable evidence based observation</li> <li>• Local scope and sequence and materials for professional development that satisfies the regulations.</li> <li>• Baseline and Periodic Surveys of Teacher and Principal evaluators evidence a dramatic increase in their knowledge and ability regarding evidence based evaluation of Teachers or Principals.</li> </ul>
	Principal Practice Examples of Evidence	<ul style="list-style-type: none"> <li>• Documentation (schedules, observation notes, feedback, etc.) of principal planning and evidence-based evaluation of teachers throughout the year</li> <li>• Documentation of principal participation in evaluation trainings provided by NTs and successful realization of learning outcomes</li> <li>• Improved student growth results for each teacher</li> </ul>
	Teacher Practice Examples of Evidence	<ul style="list-style-type: none"> <li>• Administrator and teacher survey results show increased understanding and improved opinions about the evaluation process, and areas identified for further work</li> <li>• Surveys of teachers indicate satisfaction with professional development opportunities informed by the Teacher Evaluation training</li> <li>• Improved student growth results for each principal</li> </ul>

# New York's Vision and Metrics for Implementing CCSS, APPR and DDI for SY2012-2013

*Vision: Instruction in our schools is changing dramatically and the Common Core instructional shifts are visible and observable in all classrooms*

	2012-2013 Metrics	LEA Superintendent Metrics	NT/NTE Metrics	District Superintendent Metrics
CCSS Implementation	All teachers in grades P-8 are implementing CCSS-aligned instruction	<ul style="list-style-type: none"> <li>Implementation of fully-aligned CCSS instruction in grades P-8 and clear plan for adopting or adapting NYSED voluntary curricular materials<sup>1</sup> or using other materials that align to the tri-state rubric</li> <li>Plan for leveraging educator ambassadors to assist with implementation</li> </ul>	<ul style="list-style-type: none"> <li>Clear description of each component district's needs/wishes for support around CCSS and district's approach to using NYSED CCSS curricular materials<sup>2</sup></li> <li>Clear description of each district's current status of CCSS implementation<sup>3</sup></li> <li>Plan co-developed with districts to provide professional development on CCSS for all teachers and principals in your districts</li> <li>Plan for leveraging educator ambassadors to assist with implementation</li> </ul>	<ul style="list-style-type: none"> <li>Number of and which districts in mostly green status on the CCSS components of the CCSS, APPR and DDI: District Implementation Readiness Rubric, and which ones are in mostly yellow and red status</li> <li>Plan for supporting districts in moving from red or yellow to green on the CCSS components of the CCSS, APPR and DDI District Implementation Readiness Rubric<sup>4</sup></li> </ul>
	All teachers in grades 9-12 are in the process of implementing CCSS-aligned units and are building content capacity	<ul style="list-style-type: none"> <li>Implementation of at least 2 CCSS-aligned units per semester in grades 9-12</li> <li>Plan for leveraging educator ambassadors to assist with implementation</li> </ul>		
CCSS/APPR Alignment	Evaluators look for the 12 CCSS instructional shifts in their classroom observations	<ul style="list-style-type: none"> <li>Evidence that district observation rubric identifies points of alignment with instructional shifts<sup>5</sup></li> <li>Evidence that principal evaluation system incorporates identification and observation of instructional shifts</li> <li>Percentage of schools that use analysis meetings to analyze the results of student work against the instructional shifts</li> </ul>	<ul style="list-style-type: none"> <li>Plan for supporting districts and principals in implementing evidence-based observations and student learning objectives</li> <li>Plan for follow up with districts to ensure evidence-based observations are occurring consistently</li> </ul>	<ul style="list-style-type: none"> <li>Number of and which districts in mostly green status on the CCSS, APPR and DDI: District Implementation Readiness Rubric, and which ones are in mostly red and yellow status</li> <li>Number of, which and the degree to which districts are using the instructional shifts to evaluate teacher effectiveness</li> </ul>

	2012-2013 Metrics	LEA Superintendent Metrics	NT/NTE Metrics	District Superintendent Metrics
CCSS/APPR Alignment	Evaluators provide quality feedback to teachers following evidence-based observations aligned to the shifts	<ul style="list-style-type: none"> <li>Evidence that principal evaluations hold principals accountable for providing quality feedback after evidence-based observation and for ensuring high-quality student learning objectives</li> <li>Percentage of teachers reporting high-quality feedback</li> <li>Percentage of principals trained to provide high-quality feedback</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of principals in NT/NTE certified against the NYSED inter-rater reliability standard in the area of providing high quality feedback</li> </ul>	<ul style="list-style-type: none"> <li>Number of and which districts in mostly green status on the APPR components of the CCSS, APPR and DDI: District Implementation Readiness Rubric, and which ones are in mostly yellow and red status</li> </ul>
APPR Implementation	Evaluators are moving toward consistent calibration against the inter-rater reliability standard	<ul style="list-style-type: none"> <li>Percentage of principals trained on the 9 APPR elements</li> <li>Mechanism for ensuring inter-rater reliability, such as an observer certification process</li> </ul>	<ul style="list-style-type: none"> <li>Clear understanding of what NYSED's standard for inter-rater reliability is</li> <li>Plan for supporting superintendents in implementing mechanisms for inter-rater reliability<sup>6</sup></li> </ul>	<ul style="list-style-type: none"> <li>Number of and which districts have successfully trained their educators on the 9 APPR elements</li> <li>Number of and which districts have the majority of observers meeting inter-rater reliability standards</li> </ul>
DDI Implementation	All teachers use CCSS-aligned interim assessments or common performance tasks in all courses and participate effectively in analysis meetings to inform instruction	<ul style="list-style-type: none"> <li>Percentage of teachers and principals that understand how interim assessments or common student performance tasks define rigor</li> <li>Percentage of teachers and principals that effectively participate in analysis meetings</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of teachers and principals trained on DDI</li> <li>Evidence of DDI implementation and documents/materials in use to support DDI</li> </ul>	<ul style="list-style-type: none"> <li>Number of and which districts in mostly green status on the DDI components of the CCSS, APPR and DDI: District Implementation Readiness Rubric, and which ones are in mostly yellow and red status</li> </ul>

<sup>1</sup> The state-developed curricular materials in ELA and math are expected to be finalized based on the following schedule: Summer 2012: P-8 Scope & Sequence and 1/6 P-8 modules; 9-12 Scope & Sequence; Fall 2012: 3/6 P-8 modules; 2/6 9-12 modules; Spring 2013: 4/6 P-8 and 9-12 modules; Summer 2013: 6/6 P-8 and 9-12 modules

<sup>2</sup> For example, which districts are fully adopting NYSED curricular materials? Which are modifying them? Which are designing their own or purchasing other materials?

<sup>3</sup> For example, what percentage has participated in detailed training of the instructional shifts? What percentage has had 3-8 teachers implement CCSS units?

<sup>4</sup> For example, how can BOCES support changing cultures, implementing the shifts, observing practice, etc.?

<sup>5</sup> For example, identify "look fors" – examples in the selected rubric that reflect the instructional shifts

<sup>6</sup> For example, what are districts' plans for follow up on inter-rater reliability? What evidence do districts have that the instructional shifts are incorporated into inter-rater reliability trainings?



# Overview of District Implementation Efforts Survey

This survey is designed for NTs/NTEs to administer to directors of professional development or curriculum for each component district in their BOCES. The survey is designed to elicit answers to important questions about CCSS implementation for the regional delivery systems, such as:

- Which districts will adopt, adapt or take a different approach with the voluntary curricular modules?
- How are districts communicating the CCSS vision?
- What services do districts want the Network Teams to provide?
- How will districts use the Teacher and Principal Ambassadors?

**Instructions:** NYSED will provide each NT/NTE a URL for the online survey and NTs/NTEs will forward the URL to their PD/curriculum directors for completion by August 13, 2012. The survey will be administered through Survey Monkey; instructions for completing it will be included in the URL. NYSED will be holding a webinar the week prior to the August 13-17<sup>th</sup> Network Team Institute to unveil a survey data analysis tool and assist NTs/NTEs in analyzing survey data.

## Understanding the CCSS Instructional Shifts

The 12 CCSS instructional shifts include six in ELA and six in math.

1. What percentage of teachers in your district is aware of the 12 instructional shifts in the CCSS? (*drop-down menu*)
  - About 25% or less
  - About 50%
  - About 75%
  - Nearly all of our teachers are aware of the shifts
2. What percentage of your teachers understands how to use and apply the 12 instructional shifts in the CCSS? (*drop-down menu*)
  - About 25% or less
  - About 50%
  - About 75%
  - Nearly all of our teachers are able to use and apply the shifts
3. To what extent do you believe the following practices are important to improving student learning when teaching with the shifts required by the CCSS?

### ELA Instructional Shifts

1. PK-5: Balancing informational and literary texts
2. 6-12: Knowledge in the disciplines
3. Staircase of complexity
4. Text-based answers
5. Writing from sources
6. Academic vocabulary

### Math Instructional Shifts

1. Focus
2. Coherence
3. Fluency
4. Deep understanding
5. Application
6. Dual intensity

	Very important	Important	Somewhat important	Not important	I don't know
Providing students ongoing opportunities to write creatively drawing from personal experiences					
Structuring opportunities for students to have conversations and develop arguments based on the texts they've read					
Utilizing pre-reading strategies to help all students fully understand a text through discussions and/or overviews of context, vocabulary, and the author's craft prior to reading					
Creating learning experiences that build knowledge using informational texts, not just literature					
Providing instruction in academic vocabulary to support students' understanding of complex text					

4. How would you describe the difference between the state's current learning standards and the CCSS?
- The Common Core standards are more demanding and raise expectations for student learning.
  - The Common Core and the current standards are pretty much the same.
  - The Common Core standards are less demanding and lower expectations for student learning.
  - I don't know.

## The CCSS Implementation Vision for SY 2012-2013

New York's vision is that instruction in our schools is changing dramatically and the Common Core instructional shifts are visible and observable in all classrooms. By the end of SY2012-2013, the state expects that all teachers in grades 3-8 in participating LEAs have fully implemented CCSS-aligned instruction and all teachers in grades P-2 and 9-12 are in the process of implementing CCSS-aligned units and are building content capacity. The state-developed voluntary curricular resources in English language arts and mathematics are expected to be available on the following schedule:

Summer 2012	Fall 2012	Spring 2013	Summer 2013
<ul style="list-style-type: none"> <li>▪ P-8 Scope &amp; Sequence</li> <li>▪ 1 of 6 P-8 modules</li> <li>▪ 9-12 Scope &amp; Sequence</li> </ul>	<ul style="list-style-type: none"> <li>▪ 3 of 6 P-8 modules</li> <li>▪ 2 of 6 9-12 modules</li> </ul>	<ul style="list-style-type: none"> <li>▪ 4 of 6 P-8 modules</li> <li>▪ 4 of 6 9-12 modules</li> </ul>	<ul style="list-style-type: none"> <li>▪ 6 of 6 P-8</li> <li>▪ 6 of 6 9-12 modules</li> </ul>

5. What CCSS curricular resources will your district use for ELA and Math? (*drop-down menu*)
- Using state-developed curricular resources (scope and sequence; modules) without modification
  - Using state-developed curricular resources, but adapting to needs of our district
  - Purchasing curriculum materials that satisfy the Publisher's Criteria and/or the Tri-State Rubric
  - Creating our own comprehensive curricular redesign that clearly demonstrates the CCSS shifts
  - Undecided
  - Other (*open-ended response box*)
6. What percentage of your teachers has received training on or been otherwise exposed to this vision? (*drop-down menu*)
- About 25% or less
  - About 50%
  - About 75%
  - All of our teachers have received training on this message
7. What do you believe will be the top three challenges to implementing the Common Core State Standards in your school or district? (*select up to three*)
- Students' prior knowledge
  - Need more information about the standards
  - Need more formative assessments aligned to the Common Core
  - Need more quality professional development
  - Need more time to collaborate with my colleagues
  - Need more funding
  - Need more aligned textbooks and materials
  - Need more parental involvement
  - Need a state assessment aligned to the Common Core
  - Need more time to help all students learn the standards
  - Other: \_\_\_\_\_
8. What tools, resources, or information would be most helpful in addressing the challenge(s)? (*open answer*)

## Understanding the Assessment Transition Timeline

Beginning in the 2012-13 school year, the grade 3-8 tests will be aligned to the Common Core. Similarly, some Regents Exams will be aligned to the Common Core beginning in the 2013-14 school year, and the rest will follow suit in the 2014-15 school year.

9. Are educators in grades 3-8 in your district aware of the state's testing transition timeline? (*Likert scale 1-4*)
  - All 3-8 teachers have been introduced to and fully understand the testing transition timeline (4)
  - Most 3-8 teachers have been introduced to and understand the timeline (3)
  - Some 3-8 teachers have been introduced to and understand the timeline (2)
  - Few 3-8 teachers have been introduced to and fully understand the testing transition timeline (1)
10. Are educators in grades 9-12 in your district aware of the state's testing transition timeline? (*Likert scale 1-4*)
  - All 9-12 teachers have been introduced to and fully understand the testing transition timeline (4)
  - Most 9-12 teachers have been introduced to and understand the timeline (3)
  - Some 9-12 teachers have been introduced to and understand the timeline (2)
  - Few 9-12 teachers have been introduced to and fully understand the testing transition timeline (1)

## NT/NTE Services and Supports

11. What services can NTs/NTEs provide that would best assist your district's CCSS implementation? (*please rank all 1-7 in order of most important [1] to least important [7]*)
  - Convene PD directors in each district to determine cross-cutting opportunities
  - Survey educators to determine knowledge/understanding about the CCSS instructional shifts
  - Draft voluntary criteria for district PD plan revisions
  - Assist in drafting language for district websites to communicate about CCSS tools and message
  - Offer webinars to introduce the curricular resources
  - Offer in-person trainings at BOCES for all educators
  - Develop materials and trainings about connections between CCSS supports and evaluation reforms
12. What additional supports does your district need to effectively implement the CCSS? (*open-ended*)

## Engaging Educator Leaders in CCSS Implementation

13. I have heard of the new teacher/principal ambassador recognition program to engage educators in the implementation of CCSS. (*yes/no/not sure*)
14. How is your district leveraging educator ambassadors selected by NYSED to help implement the CCSS? (*drop-down menu, select all that apply*)
  - Ambassadors are working with district PD director to train all teachers in the district
  - Ambassadors are meeting with other ambassadors or and similar leaders in the BOCES
  - Ambassadors are working directly with teachers and principals in their schools
  - Ambassadors are helping communicate about CCSS to parents and community members
  - Ambassadors will help us adapt the voluntary curricular materials
  - I don't know yet but would like help figuring this out
  - Our district does not have ambassadors (*skip to Q12*)
  - Other (*write-in*)
15. Would you be interested in your ambassadors supporting implementation in other districts? (*yes/no*)
16. For districts without NYSED ambassadors, would you be interested in working with ambassadors from other districts to support your district's CCSS implementation? (*yes/no*)

# Superintendent Worksheet for Completing the District Implementation Readiness Rubric

*This worksheet assesses the depth of CCSS knowledge in classrooms and is designed to be completed by superintendents before they complete the District Implementation Readiness Rubric.*

## **Instructions:**

Superintendents should select a rating for each category that reflects the superintendents' degree of confidence in implementation of each shift based on the following:

4: Fully implemented    3: Partially Implemented    2: Planning for Implementation    1: Not Implemented

IMPLEMENTATION OF THE CCSS INSTRUCTIONAL SHIFTS	Rating
1. All students in the district read a balance of non-fiction and fiction.	___/4
2. All students in the district build content knowledge by reading primary and secondary sources with the support of their ELA and content area teachers.	___/4
3. All students in the district read texts at appropriate complexity for their grade.	___/4
4. All students in the district participate, throughout the day every day, in evidence-based conversation about text.	___/4
5. All students in the district, throughout their day every day, produce evidence based writing about sources.	___/4
6. All students in the district build academic vocabulary by reading increasingly complex texts and learning new and powerful words.	___/4
7. All math curricula in the district focuses closely on concepts articulated by CCSS for each grade with priority devoted to emphasized domains and standards.	___/4
8. All math curricula in the district progress strategically across grades and all teachers are keenly aware of where those progressions and the way they play out in preceding and following grades.	___/4
9. All students in the district are expected to have speed and accuracy with simple calculations and are asked to memorize, through repetition, core functions for their grade level.	___/4
10. All students in the district are able to demonstrate deep conceptual understanding of core math concepts by applying them to new situations and writing and speaking about their mathematical reasoning.	___/4
11. All students in the district are expected to use math and choose the appropriate concept for application even when they are not prompted to do so. All teachers of math concepts provide opportunities at all grade levels for students to apply math in "real world" situations.	___/4
12. All students in the district are both <i>practicing</i> and <i>understanding</i> grade level concepts with equal intensity.	___/4
TOTAL: (sum all CCSS ratings)	
DIVIDE TOTAL BY 12 TO GET CCSS SUMMATIVE RATING: <i>(insert the CCSS summative rating into line 7 on the District Implementation Readiness Rubric)</i>	

# District Implementation Readiness Rubric

This rubric is designed to be completed by superintendents at the request of their District Superintendents. The rubric helps assess districts' CCSS/APPR/DDI implementation efforts. Superintendents should complete the Superintendent Worksheet accompanying this rubric to assess CCSS depth of knowledge prior to completing this rubric.

**Step 1:** Select a rating for each category element: 4: Fully implemented 3: Partially Implemented 2: Planning for Implementation 1: Not Implemented

**Step 2:** Add the ratings in each category and assign an implementation status color - ■ ■ ■ - based on the category key

**Step 3:** Total the status ratings in the right column to determine the overall district implementation readiness rating

DISTRICT:		Rating	Status
Culture	1. <b>DISTRICT LEADERSHIP:</b> effective district leadership team coordinates implementation efforts	___/4	___/24  ■ 17-24 ■ 9-16 ■ 1-8
	2. <b>COMMON LANGUAGE:</b> shifts drive all messaging and programming in the district	___/4	
	3. <b>STREAMLINED SUPPORTS:</b> existing supports analyzed and streamlined, prioritizing district-wide and school-based efforts grounded in effective CCSS/APPR/DDI implementation	___/4	
	4. <b>BRIGHT SPOTS:</b> effective implementation strategies identified/celebrated; resources deployed to replicate	___/4	
	5. <b>MODEL AMBASSADORS:</b> strategies for effective deployment of ambassadors identified and implemented	___/4	
	6. <b>BUDGET ALIGNMENT:</b> 2013-14 budget aligned with strategies leading to/ensuring effective implementation	___/4	
CCSS	7. <b>CCSS DEPTH OF KNOWLEDGE:</b> the shifts are deeply understood by all ( <i>insert summative CCSS rating from the accompanying Superintendent Worksheet</i> )	___/4	___/28  ■ 20-28 ■ 10-19 ■ 1-9
	8. <b>TEACHER PRACTICE:</b> shifts are evident and observable in every P-12 classroom on a daily basis	___/4	
	9. <b>CURRICULAR RESOURCES:</b> state-provided curricular <sup>7</sup> materials adopted or adapted, <u>OR</u> comprehensive curricular design that manifests the shifts in obvious ways developed by district <u>OR</u> alternative curricular materials satisfying publisher's criteria and the tri-state rubric purchased	___/4	
	10. <b>QUALITY OF PD:</b> adequate time is devoted to conversations, collaboration and reflection around the shifts	___/4	
	11. <b>CONTENT PD:</b> high-quality PD is content-rich and CCSS-driven and highlights adult-to-adult conversations and learning around grade-level content	___/4	
	12. <b>INSTRUCTIONAL SHIFTS PD:</b> high-quality PD emphasizes how to implement the instructional shifts with all students using rigorous materials	___/4	
CCSS/APPR	13. <b>PROCESS PD:</b> high-quality PD focuses on structures, scopes, sequences necessary to do the work each day	___/4	___/12  ■ 9-12 ■ 5-8 ■ 1-4
	14. <b>OBSERVING THE SHIFTS:</b> evidence from observations/artifacts emphasizes strengths and gaps in implementing the shifts	___/4	
	15. <b>QUALITY FEEDBACK:</b> teachers receive high-quality feedback focused on strengths and gaps in implementing the shifts following observations	___/4	
APPR	16. <b>FOCUS ON GROWTH:</b> systems in place ensure evidence-based observation, adoption of the CCSS shifts in curriculum resources and student growth percentiles are discussed by teachers in coherent and comprehensive way	___/4	___/20  ■ 14-20 ■ 7-13 ■ 1-6
	17. <b>EVIDENCE COLLECTION:</b> all evaluators trained on how to collect objective evidence and align that evidence with the language in the district's observation rubric	___/4	
	18. <b>INTER-RATER RELIABILITY:</b> all evaluators have achieved inter-rater reliability	___/4	
	19. <b>QUALITY OF SLOs:</b> all SLOs are a 2 or a 3 out of 4 on the SLO Quality Rubric	___/4	
	20. <b>STUDENT GROWTH PERCENTILES (SGP) AWARENESS:</b> all educators trained on SGPs	___/4	
DDI	21. <b>SGP DEPTH OF KNOWLEDGE:</b> SGPs are deeply understood by all educators	___/4	___/16  ■ 12-16 ■ 6-11 ■ 1-5
	22. <b>EFFECTIVE INTRODUCTION:</b> teachers and leaders trained to effectively participate in analysis of real-time student data to inform instruction	___/4	
	23. <b>DATA MEETINGS:</b> meetings embedded in common planning time and teachers participate in meetings effectively	___/4	
	24. <b>INTERIM ASSESSMENTS:</b> standards-aligned interim assessments used in all courses	___/4	
	25. <b>DDI SYSTEMS:</b> principals held accountable for establishing and monitoring effective DDI systems	___/4	
TOTAL			___/100 ■ 68-100 ■ 33-67 ■ 1-33

<sup>7</sup> The state-developed curricular materials in ELA and math are expected to be finalized based on the following schedule: Summer 2012: P-8 Scope & Sequence and 1/6 P-8 modules; 9-12 Scope & Sequence; Fall 2012: 3/6 P-8 modules; 2/6 9-12 modules; Spring 2013: 4/6 P-8 and 9-12 modules; Summer 2013: 6/6 P-8 and 9-12 modules

# District Superintendent Regional Implementation Analysis

*This analysis is designed to assist District Superintendents in evaluating their districts' depth of CCSS/APPR/DDI implementation and help them in determining areas for continuous support. The analysis is based on New York State's 2012-2013 Metrics for CCSS, APPR and DDI implementation.*

**Instructions:** District Superintendents should use the District Implementation Readiness Rubric for each of their districts to aggregate a composite response across all districts for each category.

<b>BOCES:</b>	
<b>Total number of districts in BOCES:</b>	
	<b>Number</b>
<b>INTEGRATION OF CCSS, APPR and DDI</b>	
1. Number of districts in mostly green status overall on the District Implementation Readiness Rubric	
2. Number of districts in mostly yellow status overall on the District Implementation Readiness Rubric	
3. Number of districts in mostly red status overall on the District Implementation Readiness Rubric	
4. Number of districts that are using the instructional shifts to evaluate teacher effectiveness	
<b>IMPLEMENTATION OF CCSS SHIFTS</b>	
5. Number of districts in mostly green status on the CCSS components of the District Implementation Readiness Rubric	
6. Number of districts in mostly yellow status on the CCSS components of the District Implementation Readiness Rubric	
7. Number of districts in mostly red status on the CCSS components of the District Implementation Readiness Rubric	
<b>IMPLEMENTATION OF APPR</b>	
8. Number of districts that have successfully trained their educators on the 9 APPR elements	
9. Number of districts that have the majority of observers meeting inter-rater reliability standards	
10. Number of districts in mostly green status on the APPR components of the District Implementation Readiness Rubric	
11. Number of districts in mostly yellow status on the APPR components of the District Implementation Readiness Rubric	
12. Number of districts in mostly red status on the APPR components of the District Implementation Readiness Rubric	
<b>IMPLEMENTATION OF DDI</b>	
13. Number of districts in mostly green status on the DDI components of the District Implementation Readiness Rubric	
14. Number of districts in mostly yellow status on the DDI components of the District Implementation Readiness Rubric	
15. Number of districts in mostly red status on the DDI components of the District Implementation Readiness Rubric	



## **NYS RTTT Requests for Proposals Sample Language Regarding Reporting Requirements**

### **Vendor Oversight & Monitoring**

In compliance with stated goals and objectives relative to the administration of the New York State's RTTT; the requirements below are key tools NYSED uses to ensure the contractor is adhering to the reporting requirements as outlined in the published RFPs seeking bidders:

- At a minimum NYSED will require quarterly progress reports indicating vendor progress toward completing agreed-upon deliverables. A part of this quarterly progress report will include proof of completion of work product deliverables for the quarter.
- Upon NYSED approval of quarterly deliverables and submission of approved vendor invoices, payments will be processed within thirty (30) days provided that the vendor is in full compliance with the contract.
- If work products submitted as a part of the quarterly progress report are not approved by NYSED, payment for work completed during this quarter, as well as any subsequent invoices for payment, will not be approved until NYSED is satisfied that current quarter work products meet NYSED standards for acceptance.
- Subcontracting will be limited to **50%** of the annual contract budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel.
- If the vendor proposes to change subcontractors during the contract period, NYSED must be notified prior to the change. NYSED reserves the right to reject any replacement subcontractors proposed by the vendor and reserves the right to approve all changes in subcontractors. The Subcontracting Form located in the Submission Documents must be updated annually and submitted to NYSED. Using this form, the vendor must also report to NYSED, on an annual basis, actual expenditures incurred for all subcontractors and indicate which subcontracting costs are associated with M/WBE.
- In keeping with the intent of the Law, it is the expectation of the Commissioner and the responsibility of all contractors participating in and/or selected for procurement opportunities with NYSED, to fulfill their obligations to comply with the requirements of the Article and its implementing regulations (Article 15-A, of the New York State Executive Law §310-318, (Participation By Minority Group Members and Women With Respect To State Contracts))

### **Grant Oversight & Monitoring:**

In compliance with stated goals and objectives relative to the administration of the New York State's RTTT; the requirements below are key tools NYSED uses to ensure the grantees is adhering to the reporting requirements as outlined in many of the published RFPs seeking grantees:

- Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed.
- Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping system. Source documents that authorize the disbursement of

grant funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs. Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements.

- Additionally, audit or litigation will "freeze the clock" for records retention purposes until the issue is resolved.
- The applicant must complete the FS-10 Budget (information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Grants](http://www.oms.nysed.gov/cafe/guidance/guidelines.html) (<http://www.oms.nysed.gov/cafe/guidance/guidelines.html>))
- 3-Year Budget Summary Chart (included within the application)
- A detailed Budget Narrative for the entire grant period,
- Allowable activities are those activities that are directly related to meeting the overall and individual whole-school redesign framework requirements. The purchase of non-instructional equipment is not allowed.
- Instructional equipment is allowable, if necessary to meet the project goals and objectives, but must not exceed 10% of the total project budget.
- Key project personnel must attend two, one-day capacity building events in Albany, NY each project period. (This travel should be budgeted for within the grant);
- Submit an FS-10 and updated workplan for project period for the period of the grant. The FS-10 and workplan must be approved by NYSED prior to continued funding approval;
- LEAs and Lead Partner/Partner Consortium will be required to submit a final MOU to be approved by NYSED
- LEAs will be held accountable for a performance agreement approved of by NYSED prior to implementation of services
- It is the LEA's responsibility to hold their partners accountable for delivery of and effectiveness of services.
- Recipients of multi-year discretionary grants must develop a performance agreement approved by NYSED which will be used to gauge success on a quarterly and annual basis.
- The performance agreement should include the baseline data in all applicable categories for the participating LEA for appropriate monitoring of performance measures.
- Documentation of regular monthly meetings and outcomes with project advisors, management team and partners;
- Partnership budgets for establishing Lead, Partner Consortium, and Supporting Partners (if applicable);
- Implementation of Chapter 103 of the laws of 2010; teacher and principal evaluation data, and;
- Baseline, short-term, intermediate, and long-term impact data that relates to the approved project workplan, key strategies, actions, and indicators of success.



## **NYS RTTT Requests for Proposals**

### **Sample Language Regarding Payment Protocols**

#### **Vendor Payment Protocols**

In accordance with the standard language found in New York State Education Department grant RFPs, the items listed below are the sequence of events from award to payment:

- Payment(s) for subcontractor(s) must list the subcontractor's name(s), payment amount(s), and nature of services provided separately on the invoice submitted.
- Invoices with incomplete information will be returned to the vendor.
- Annual year end reports must include data summary of services provided (as above), and fiscal expenditures.
- The vendor must retain records and accounts, updated on a monthly basis, and must be able to prepare and submit statistical, narrative, and/or financial summaries related to this contract as requested by NYSED.
- All invoices submitted for payment must include dates of services and an itemized list of activities and costs consistent with the approved Schedule of Deliverables contained in the executed contract. Payment(s) for subcontractor(s) must list the subcontractor's name(s), payment amount(s), and nature of services provided separately on the invoice submitted. Invoices with incomplete information will be returned to the vendor.
- Any vendor staff travel must be in accordance with the approved NYS rates. New York State rates are available at: <http://www.gsa.gov/portal/category/21287>.

In accordance with a directive dated January 22, 2010 by the Director of State Operations - Office of Taxpayer Accountability, all state agency contracts, grants, and purchase orders executed after February 28, 2010 shall contain a provision requiring that contractors and grantees accept electronic payments. Additional information and authorization forms are available at the State Comptroller's website at [www.osc.state.ny.us/epay/index.htm](http://www.osc.state.ny.us/epay/index.htm)

#### **Grant Payment Protocols**

In accordance with the standard language found in New York State Education Department grant RFPs and the Grants Finance Office published policy, the items listed below are the sequence of events from award to payment:

- Agencies eligible to apply for funding should read the application materials thoroughly and follow all instructions contained in the application.
- A proposed budget will usually be requested as part of the application process. The application will specify what budget form, the [FS-10 or FS-20](#), should be submitted. The proposed budget is submitted to the SED program office along with other required information.
- The SED program office reviews all of the grant application materials and determines the grantees. For competitive (or discretionary) grant programs, SED sends information regarding the grant program to the Office of the State Comptroller for review and approval. Upon approval, the program office notifies applicants of approval or disapproval.

- Awards made through the allocational process are executed through grants. Awards made through the competitive process are executed through either grants or grant contracts. The same fiscal and programmatic requirements must be met under both grants and grant contracts, but individual grant contracts must also be reviewed and approved by the Office of the State Comptroller.
- Following program office review and approval of the FS-10 or FS-20 budget for a grant, the budget is sent to Grants Finance. For grants, a copy of the approved FS-10 or FS-20 budget, accompanied by a grant status report, is mailed to the local agency by Grants Finance. For grant contracts, the approved budget is sent to the local agency as part of the contract, which must be reviewed and agreed to by the local agency, then returned to SED.
- The local agency notes any changes to the budget and establishes project accounting records.
- At the same time, but under separate cover, a formal [grant award notice](#) is sent to the local agency by Grants Finance. For grant contracts, the grant award notice is included in the contract.
- Depending upon the grant program, an automatic first payment may be made. The availability and amount of first payments vary due to statutory, regulatory or policy requirements; refer to the grant award notice for each grant regarding the availability and amount of the first payment. For grant contracts, refer to the contract for the grant award notice and a payment schedule.
- The SED program office may notify local agencies of any special conditions of the grant or any requirements to provide additional information, such as performance reports.
- Subsequent budgetary changes requiring prior SED approval are requested by the local agency through [Form FS-10-A Proposed Amendment for a Federal or State Project](#). Submit FS-10-As to the SED program office.
- To request funds from a particular grant, local agencies must submit a [Form FS-25 Request for Funds](#). The amount of funds requested at any one time may only include actual expenditures to date plus, in some cases, anticipated expenditures for the next month. Submit FS-25 Requests for Funds only when reimbursement for expenditures is required or, if permitted, expenditure of the funds will occur within the next month. There is no requirement to submit the form once a month or to submit a form requesting a zero payment.
- Once project activities are completed and all expenditures have been made, the local agency submits an original and one copy of the [FS-10-F or FS-10-F Short Form Final Expenditure Report for a Federal or State Project](#) to Grants Finance unless other routing instructions have been provided by the program office.
- Projects must operate under the jurisdiction of the local board of education or other appropriate governing body and are subject to at least the same degree of accountability as all other expenditures of the local agency.
- The local board of education or other appropriate governing body is responsible for the proper disbursement of, and accounting for, project funds.
- Not act as a flow-through for funds to pass to other entities. LEA level of participation is not less than 20% of the annual budget;
- If the LEA chooses, up to 15% of grant funds may be used for district-level capacity building activities. (85% must go directed toward the identified school activities). For the purposes of this

grant, district-level capacity building means activities designed to build the capability of the district to support, monitor, and oversee the LEAs Priority Schools funded through this program;

- Not sub-grant funds to other entities, except to the partner organizations designated to provide services that the LEA is unable to provide;
- All records and documentation must be available for inspection by State Education Department officials or its representatives.
- For additional information about grants, please refer to the [Fiscal Guidelines for Federal and State Grants](#).